

**THE STATUS OF THE DISTRICT OF COLUMBIA'S  
YEAR 2000 CONVERSION COMPLIANCE AND  
TECHNOLOGY IMPROVEMENT PLAN**

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**HEARING**

BEFORE THE

SUBCOMMITTEE ON THE  
DISTRICT OF COLUMBIA

OF THE

COMMITTEE ON  
GOVERNMENT REFORM

HOUSE OF REPRESENTATIVES

ONE HUNDRED SIXTH CONGRESS

FIRST SESSION

SEPTEMBER 24, 1999

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## **THE STATUS OF THE DISTRICT OF COLUMBIA'S YEAR 2000 CONVERSION COMPLIANCE AND TECHNOLOGY IMPROVEMENT PLAN**

**FRIDAY, SEPTEMBER 24, 1999**

HOUSE OF REPRESENTATIVES,  
SUBCOMMITTEE ON THE DISTRICT OF COLUMBIA,  
COMMITTEE ON GOVERNMENT REFORM,  
*Washington, DC.*

The subcommittee met, pursuant to notice, at 11 a.m., in room 2154, Rayburn House Office Building, Hon. Thomas M. Davis (chairman of the subcommittee) presiding.

Present: Representatives Davis, Morella, Horn, and Norton.

Staff present: Howie Denis, staff director/counsel; Anne Barnes, Bob Dix, and Melissa Wojciak, professional staff members; David Marin, communications director; Jenny Mayer, clerk; Jean Gosa, minority clerk; and Jon Bouker, minority counsel.

Mr. DAVIS. Good morning and welcome.

The meeting will come to order. The hearing is taking place at a very critical time for the District of Columbia. Our bipartisan legislation to expand higher educational opportunity is poised for passage in the Senate next week. I look forward to very prompt House concurrence in the transmittal to the White House.

The D.C. budget containing the funds for this I understand is going to be vetoed and sent back here, and that's going to be a struggle to keep those dollars in quite candidly. But we will do everything that we can because it's a great program.

I think the difficulty with the subject of today's hearing is, is the city able to manage the money correctly that is sent from the Federal Government, and this just adds another wrinkle into how Congress will react to money coming back here under a veto at a time when budgets are very, very tight. My assurance that I will do everything I can to keep those dollars here for the city as we try to work through this difficulty.

But I have to be candid, there are a lot of competing consistencies up here for those dollars. And so let's try to work together and do the best we can. A lot of progress has been made. Private sector investment decisions now include the District as a viable regional partner. Wall Street has acknowledged this improvement. Population enhancement and stability remain one of our top goals. So far as Y2K is concerned, it's my understanding that there is a supplemental budget request pending with the White House's Office of Management and Budget.

Assuming the pending budget itself becomes law, eventually, this would provide additional Federal funds to address the city's Y2K mitigation effort. For all of these reasons and more, I again would hope that we can find a way to let this budget go into effect. Otherwise, losing dollars in one area means we have to cut and paste, and it's just not a good thing for the city or the region.

The District's Y2K compliance program is mixed. The team which has been assembled is doing a good job under very difficult circumstances, but the mitigation project started late, and it's been forced to play catchup. Consequently, the risk and the cost is higher than usual. Effective contingency planning is essential to minimize the potential for serious service interruptions.

While most of the District's leadership has proclaimed its Y2K commitment as a high priority, the evidence suggests that not everybody has followed through. I am concerned and troubled by the GAO report that documents serious problems. Especially troubling is the fact that a contract with the prime Y2K consultant was recently allowed to lapse. So we're going to try to find answers to those today.

Also troubling is a report from the District's Inspector General identifying major concerns. These include funding, training, and agency compliance problems, along with poor communication, cooperation and coordination.

I certainly acknowledge that progress though has been achieved, and we can't lose sight of that fact. I don't want to minimize the accomplishments that have been made to date, but we can't afford to lose our focus and tenacity as time's swift chariot draws near. Now is the time to reaffirm our commitment to achieving a favorable outcome.

And today we will try to hone in on those issues and as we have on so many tough issues facing the city try to work together to work on appropriate solutions. We expect that the lights will stay on after midnight on New Year's Eve, and other municipal services will continue without interruption.

In that regard, I want to note that a New Year's Eve millennium celebration of some sort is being planned for the District at the urging of the White House and others. We want to look forward to learning how this event could impact the ability of various local agencies to respond to potential Y2K problems.

My thanks as always to my ranking member of this subcommittee, Eleanor Holmes Norton, for her continuing leadership and guidance through this. The city has been, I think, blessed with her leadership through some very difficult times over the last 5 years. I also want to thank the vice chairman of the subcommittee Connie Morella and, of course, Steve Horn, who has shown national leadership on the Y2K compliance matters.

I look forward to hearing from our distinguished panel. And I now yield to my friend the delegate from the District of Columbia, Ms. Norton for her opening statement.

[The prepared statement of Hon. Thomas M. Davis follows:]

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2157 RAYBURN HOUSE OFFICE BUILDING  
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SUBCOMMITTEE ON THE DISTRICT OF COLUMBIA  
HONORABLE TOM DAVIS, CHAIRMAN

SEPTEMBER 24, 1999

District of Columbia Y2K Hearing

Opening Statement of Mr. Davis

Good morning and welcome.

This hearing is taking place at a very critical time for the District of Columbia. Our bipartisan legislation to expand higher educational opportunity is poised for Senate passage. I look forward to prompt House concurrence and transmittal to the White House. The D.C. Budget containing the funds for this and many other worthwhile city programs has been passed by Congress and is now at the White House. A presidential veto would jeopardize our hard work for many years in revitalizing the Nation's Capital.

So much progress has been made. Private sector investment decisions now include the District as a viable regional partner. Wall Street has acknowledged this improvement. Population enhancement and stability remains one of our top goals.

So far as Y2K is concerned, it's my understanding that there is a supplemental budget request pending with the White House Office of Management and Budget. Assuming the pending budget itself becomes law, this would provide additional federal funds to address the District's Y2K mitigation effort.

For all these reasons and more I again call upon the president to allow the District budget to go into effect. Otherwise I fear the city will be the big loser.

The District's Year 2000 compliance progress is mixed. The team which has been assembled is surely doing a great job under very difficult circumstances. But the mitigation project started late and has been forced to play catch-up. Consequently, the risk and the cost is high. Effective contingency planning is essential to minimize the potential for serious service interruptions.

While most of the District's leadership has proclaimed its Y2K commitment as a high priority, the evidence suggests that not everyone has followed-through. I am concerned and troubled by GAO reports that document serious problems. Especially troubling is the fact that a contract with the prime Y2K consultant was recently allowed to lapse. We expect answers.

Also troubling is a report from the District's Inspector General identifying major concerns. These include funding, training, and agency compliance problems, along with poor communication, cooperation, and coordination.

I certainly acknowledge that progress has been achieved. I do not minimize those accomplishments. However, we cannot lose our focus and tenacity as "time's swift chariot draws near." Now is the time to reaffirm our commitment to achieving a favorable outcome.

Today we will hone in on these issues. We expect that the lights will stay on after midnight on New Year's Eve, and that other municipal services will continue without interruption.

In that regard, I note that a New Year's Eve "Millennium Celebration" of some sort is being planned for the District at the urging of the White House. We look forward to learning how this event may impact the ability of various local agencies to respond to potential Y2K problems.

My thanks as always to the Ranking Member of this Subcommittee, Eleanor Holmes Norton, for her continuing leadership. I'm also pleased to thank the Vice-Chair of the Subcommittee, Connie Morella, and Steve Horn, who have shown national leadership on Y2K compliance matters.

I look forward to hearing from our distinguished panel.

Ms. NORTON. I want to thank Chairman Davis for his consistent attention to Y2K in the District. I also want to thank District officials for a phenomenally improved job of meeting the unprecedented Y2K challenge they have faced.

This week the Washington Post reported what amounted to a C-plus, maybe even a B-minus for D.C. Y2K readiness compared of course to higher marks for Virginia and Maryland. The difference is that the District did not even report to class until late, a problem of the District's own making to be sure, and had a lot of makeup work to do.

Mayor Anthony Williams' interim City Administrator Norman Dong and Chief Technology Officer Suzanne Peck and her staff had no responsibility for the late start, but they have moved forward without excuses to achieve what appears to be a photo finish that should avoid a crisis.

Thanks also are due to the Clinton administration, beginning with the President, who included the District in the Federal Government's Y2K budget. The administration agreed that it was in the interest of the Federal Government to give this assistance to the District as the seat of government and work with me to have D.C. receive Federal Y2K funding. Without quickly funding the District's startup effort, a Y2K catastrophe in the city seemed inevitable only a few hearings ago. Not only did the District receive an initial grant of \$61.8 million in fiscal year 1999, the city got another \$20 million in extra funds from the District appropriation when it was negotiated by the White House as a part of the omnibus appropriation bill for fiscal year 1999.

This morning embargoed GAO testimony was leaked to shift the emphasis from the District's extraordinary success in making up for lost time in a way no one predicted at our last hearing. According to the GAO, the District has not been able to track and account for all the money allocated thus far. However, OMB and the District have been consistently working on this problem, despite the concern that personnel necessary for the Y2K effort not be drawn into important but not nearly as critical auditing matters.

OMB assured me several months ago that there was no evidence that money was being misspent. The District took the sensible step of commissioning an outside audit to resolve financial tracking issues rather than side tracking its critical high-level Y2K personnel into financial tracking duties.

We are grateful not only for the original Y2K grants and the extra funds included in the Y2K 1999 appropriation by the President, but also for the active participation of the Office of Management and Budget in assisting the District. Expert assistance has come from the top of the President's Council on Year 2000 Conversion, including frequent meetings and advice and counsel involving John Koskinen, chair of the President's Council on Y2K Conversion, Diedre Lee, administrator of Federal Procurement Policy, and OMB and Sally Katzen, counselor to the Director of OMB.

The important news for today's hearing surely is that the District has done far better at achieving Y2K compliance than most anticipated. It was always clear that the matter would go down to the wire and that as in other cities, emphasis had to be placed on contingency planning. Among the most important tasks that remain is



to avoid contributing to the problem by public actions and statements that distract from the success that is clear and that can panic the public.

Rather the example to be followed was set by Federal Reserve Chairman Alan Greenspan a few days ago, who warned against actions such as withdrawal of funds from banks or ATMs and other actions that create problems that will be of our own making.

In the District, Members of Congress, local officials, business people and civic and community leaders have an obligation to speak responsibly about Y2K, pressing local officials hard to attend to the task that remain is part and parcel of assuring accountability.

Actions and talk that do not take account of progress made and precautions taken could lead to a rush to banking institutions, food stores, gas stations and other hoarding that could promote scarcity, inflate pricing artificially and cause disruption needlessly. The District is doing its part very well against all the odds, and the city deserves as much praise from us today as it has gotten criticism in the past.

I look forward to testimony from today's witnesses who have the responsibility, have accepted it and are closest to the facts we need to hear.

Mr. Chairman, if I may, I understand that you spoke of the pending appropriation before I came to this hearing. I believe it is irresponsible to engage in threats concerning the D.C. appropriation. And I want to say to all within the call of my voice that the only way for the District of Columbia to lose any money in the appropriation is for the President of the United States to give it up.

Throughout the appropriation process, when the Democrats in the House and the Democrats in the Senate felt they had to vote against our appropriation because of the way money was manipulated, because of the way the District appropriation was—the in-state tuition was being treated and because of the attachments.

Throughout that time, I have been every step of the way in touch with the highest levels of the White House who every step of the way have assured me that the District's appropriation was not in danger. If it is in danger, it will be because the Republican majority chooses to fight to punish the District for standing up for its rights when it handed the Congress a balanced budget with a surplus and the tax cuts.

Now, we would like to read a statement from the spokesman for Jack Lew, the highest official at OMB: Funding levels are really not in dispute here. The issue at hand is resolving the problem presented by a wide array of riders that would keep the District from running its business freely in a way that is consistent with home rule.

On the specific issue of funding, Congressman Davis' own record shows that he is a strong advocate and ally in keeping the District meeting its funding needs. By the same token, our commitment on

funding is unwavering. There is no reason that a possible CR should lead to a situation that would deprive the District of funding.

Thank you, Mr. Chairman.

[The prepared statement of Hon. Eleanor Holmes Norton follows:]

ELEANOR HOLMES NORTON  
District of Columbia

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**STATEMENT OF CONGRESSWOMAN ELEANOR HOLMES NORTON AT THE  
OVERSIGHT HEARING ON THE STATUS OF THE DISTRICT OF COLUMBIA'S  
YEAR 2000 CONVERSION COMPLIANCE AND TECHNOLOGY IMPROVEMENT  
PLAN BY THE HOUSE SUBCOMMITTEE ON THE DISTRICT OF COLUMBIA**

September 24, 1999

I want to thank Chairman Tom Davis for his consistent attention to Y2K in the District. I also want to thank District officials for a phenomenally improved job of meeting the unprecedented Y2K challenge they have faced. This week, the *Washington Post* reported what amounted to a C+, maybe even a B-, for D.C. Y2K readiness compared, of course, to higher marks for Virginia and Maryland. The difference is that the District did not even report to class until late (a problem of the city's own making, to be sure) and had a lot of make-up work to do. Mayor Anthony Williams, Interim City Administrator Norman Dong, and Chief Technology Officer Suzanne Peck and her staff had no responsibility for the late start, but they have moved forward without excuses to achieve what appears to be a photo finish that should avoid a crisis.

Thanks also are due to the Clinton Administration, beginning with the President, who included the District in the federal government's Y2K budget. The Administration agreed that it was in the interest of the federal government to give this assistance to the District, as the seat of government, and worked with me to have D.C. receive federal Y2K funding. Without quickly funding the District's start-up effort, a Y2K catastrophe in the city seemed inevitable. Not only did the District receive an initial grant of \$61.8 million in FY 1999. The city got another \$20 million in extra funds when the District appropriation was negotiated by the White House as part of the Omnibus Appropriations bill for FY 1999. This morning, embargoed GAO testimony was leaked to shift the emphasis from the District's extraordinary success in making up for lost time in a way that no one predicted at our last hearing. According to the GAO, the District has not been able to track and account for all of the money allocated thus far. However, the Office of Management and Budget (OMB) and the District have been consistently working on this problem despite the concern that personnel necessary for the Y2K effort not be drawn into important, but not nearly as critical, auditing matters. OMB assured me several months ago that there was no evidence that money was being misspent. The District took the sensible step of commissioning an outside audit to resolve financial tracking issues rather than sidetracking its critical high level Y2K personnel into financial tracking duties.

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1515 15th STREET, N.W., Suite 100  
WASHINGTON, D.C. 20005-2201  
(202) 763-6066  
(202) 765-5211 (FAX)

1424 LONGWORTH HOUSE OFFICE BUILDING  
WASHINGTON, D.C. 20515-5101  
(202) 225-8960  
(202) 225-3032 (FAX)  
(202) 225-7829 (TDD)  
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2041 MARTIN L. KING AVENUE, S.E.  
Suite 302  
WASHINGTON, D.C. 20020-5734  
(202) 678-8900  
(202) 678-8844 (FAX)

FY 1999 appropriation, but also for the active participation of OMB in assisting the District. Expert assistance has come from the top of the President's Council on Year 2000 Conversion, including frequent meetings and advice and counsel involving John Koskinen, Chair of the President's Council on Y2K Conversion, Diedre A. Lee, Administrator of Federal Procurement Policy at OMB, and Sally Katzen, Counselor to the Director of OMB.

The important news for today's hearing surely is that the District has done far better at achieving Y2K compliance than most anticipated. It was always clear that the matter would go down to the wire and that, as in other cities, emphasis had to be placed on contingency planning. Among the most important tasks that remain is to avoid contributing to the problem by public actions and statements that distract from the success that is clear and that can panic the public. Rather, the example to be followed was set by Federal Reserve Chairman Alan Greenspan a few days ago, who warned against actions such as withdrawal of funds from banks and ATMs and other actions that create problems that will be of our own making. In the District, Members of Congress, local officials, business people and civic and community leaders have an obligation to speak responsibly about Y2K. Pressing local officials hard to attend to the work that remains is part and parcel of assuring accountability. Actions and talk that do not take account of progress made and precautions taken could lead to a rush to banking institutions, food stores, gas stations, and other hoarding that could promote scarcity, inflate pricing artificially and cause disruption needlessly. The District is doing its part very well, against all the odds, and the city deserves as much praise from us today as it has gotten criticism in the past. I look forward to testimony from today's witnesses who have the responsibility, have accepted it, and are closest to the facts we need to hear.

Mr. DAVIS. Thank you, Ms. NORTON. And I commented on this, not just before you came in, but over the last few weeks, and not in any threatening manner. I think anybody who heard my comment made it clear that sometimes you have to let people know where your judgment leads you in conversations. Unfortunately, I'm not the appropriator or I could assure you that every dollar would come back to the city. As I said before, we're going to fight for it.

But as you know we had a struggle with many of the appropriators to get the money that we got earlier this year in this legislation. Other budgets are tight, education is tight, environmental legislation, NASA, all of these budgets are being cut and slashed.

And my fear, and I think it's an important sometimes for elected officials to share concerns, not in a threatening manner, but in a very realistic legislative way to say that these dollars are going to be quickly reclaimed by other committees.

I will continue to do everything I can to protect those dollars for the District of Columbia. But I think it will be naive of me to sit up here and smile and just try to cover myself that somehow this did not take place. The two riders that are on the bill this year that were not on the bill the President signed last year call for forbidding the legalization of marijuana and the cell towers in Rock Creek Park, which were put on by the Democratic leader in the U.S. Senate. These are the items.

I did not support all of these riders, and in fact I spoke against some of them on the floor. And I would like to see some of them go off. But you have to understand there is a process where we get a lot of people into the mix sometimes who don't always agree with us, and we have to give our best judgment in trying to get the best results for this city in the region.

I now recognize Vice Chairman Mrs. Morella.

Ms. NORTON. Mr. Chairman. Mr. Chairman, if I may, I believe if you would put this matter into play at this hearing, as the representative of the District I should at least be able to respond to the comments you made.

Mr. DAVIS. You responded earlier.

Ms. NORTON. You're the one that put this into play, Mr. Chairman. And it is your comments that are seeking to intimidate the District and I intend to use my time in order to respond to those comments.

Mr. DAVIS. Mrs. Morella.

Mrs. MORELLA. Thank you, Mr. Chairman, back to the subject of Y2K. And I appreciate the timing of your holding this important hearing. I think we've got 98 days after today when we will be celebrating January 1, 2000, and we want to make sure that the Nation's Capital is fully prepared. Steve Horn and I remember 3½ years ago when we had the first joint subcommittee's hearing on Y2K. That was the time when everybody thought Y2K, with the exception of a few, was a breakfast cereal, well, it's not. And the time is now.

And we determined that the Federal Government is working much too slowly on that. We've been working with the administration since then to ensure that the Federal Government will operate without interruption, and there will be end-to-end contracts to

make sure that there is compliance. And we helped to create a national Federal strategy, finally happened.

We've had agencies reporting to us on a quarterly basis and moving out to contractors, State and local government and internationally. It was just a year since this Subcommittee on the District of Columbia, the Subcommittee on Government Management, Information, and Technology and the Subcommittee on Technology conducted an oversight hearing to examine the status of the District of Columbia's Y2K compliance efforts.

At that time it was determined that the District had only begun to address the year 2000 problem, and in June 1998, that was much later than the surrounding metropolitan jurisdictions and aroused some concern with us. The District had made only limited progress in addressing the year 2000 problem. It lacked both a structure and the resources necessary to do so. Well, according to an article in the Washington Post earlier this week, although the District is less than 90 percent complete on their Y2K work, expectations are that city residents will enter the millennium without major disruptions.

I know there is still concerns, including insufficient funding for Y2K, the unmet needs, slow procurement processes, ineffective communication and coordination among District agencies.

And then today, we read in the paper that the District of Columbia has lost track of how some of this money has been spent, particularly the \$120 million that was allocated for its late start in Y2K. I firmly believe that with the strength, expertise and management capabilities of the District leadership, such as the distinguished panel before us, that we can together overcome these deficiencies in correcting the year 2000 problem, and that we will have answered today the extent of the problem, the solution, where the money has come from, how it has been used.

So I look forward to hearing from our distinguished panelists. I thank you, Mr. Chairman, for having this meeting at this time and for your excellent oversight over the District of Columbia, our Capital City, of which I'm very proud. Thank you.

Mr. DAVIS. Thank you very much.

And now I would yield to the gentleman from California, who has shown a lot of leadership on the Y2K issue nationally.

Mr. HORN. Well, I thank the chairman. I will yield any time I might have spent listening to myself to the Mayor of Washington, DC, and his fine team so we can hear what's going on. Thank you.

Mr. DAVIS. Thank you very much.

Let me call our panel of witnesses up to testify Mayor Anthony Williams, Connie Newman, vice chairman of the Control Board, Kathy Patterson of the D.C. City Council, Susan Peck, the District's chief technology officer, and two representatives of the General Accounting Office, Jack Brock, who will report on operational issues, and Gloria Jarmon, who will address financial issues.

As you know, it's the policy of this committee that all witnesses be sworn before they testify. So if you could rise with me and raise your right hands.

[Witnesses sworn.]

Mr. DAVIS. I thank you. You can be seated.

To afford sufficient time for questions, we'll have the testimony, if you could limit yourselves to no more than 5 minutes, we will have a light on. And at the end of 4 minutes, the yellow light will go on and it will give you a minute to sum up. We will open it up for questions.

Mr. HORN. Mr. Chairman, if I might, can we also limit ourselves to 5 minutes. We do that in our own subcommittee.

Mr. DAVIS. We can go to an additional round if we need to, and we will do that.

Mr. HORN. Thank you.

Mr. DAVIS. All written statements from witnesses will be made a part of the permanent record, and we will begin with Mayor Williams, followed by Councilmember Patterson, Control Board Chairman Newman, the CTO, Susan Peck, and the GAO Directors Jack Brock and Gloria Jarmon.

Mayor Williams, thank you very much for being with us. I think Ms. Norton made it clear that a lot of these problems didn't begin on your watch. You, in fact, if anything, have given it appropriate focus since you've been here, and we appreciate it. Thank you.

**STATEMENTS OF ANTHONY WILLIAMS, MAYOR, DISTRICT OF COLUMBIA; CONSTANCE NEWMAN, VICE CHAIRMAN, DISTRICT OF COLUMBIA FINANCIAL RESPONSIBILITY AND MANAGEMENT ASSISTANCE AUTHORITY; KATHLEEN PATTERSON, COUNCILMEMBER, WARD 3, DISTRICT OF COLUMBIA CITY COUNCIL; SUZANNE PECK, CHIEF TECHNOLOGY OFFICER, DISTRICT OF COLUMBIA; JACK BROCK, DIRECTOR, INFORMATION MANAGEMENT ISSUES, ACCOUNTING AND INFORMATION MANAGEMENT DIVISION, U.S. GENERAL ACCOUNTING OFFICE; AND GLORIA JARMON, DIRECTOR, HEALTH, EDUCATION AND HUMAN SERVICES ACCOUNTING AND FINANCIAL MANAGEMENT ISSUES, ACCOUNTING AND INFORMATION MANAGEMENT DIVISION, U.S. GENERAL ACCOUNTING OFFICE**

Mayor WILLIAMS. Right. But, Mr. Chairman, Congressman Norton, and members of the committee, as Congresswoman Norton has stated, you accept everything on your watch, because I'm here now. And so this is a top priority, and we're going to see it through.

But I appreciate the opportunity to appear before you to discuss our readiness efforts for Y2K. And before I begin, I would like to take a moment and thank our Congresswoman, Eleanor Holmes Norton for her assistance in facilitating the approval of the Federal OMB funds for this effort, because we would not be where we are now, where I think we are, which is substantial progress, but for that funding. And we appreciate it, and it is acknowledged.

In our February testimony, we stated and we recognize that the District was behind almost every comparable municipality in its Y2K compliance and stated that our late start would not prevent us, however, from successful completion of the Y2K project. And while we're still committed to that promise, we must acknowledge that there is much work to be done in a very short time. Throughout my testimony, I'm going to discuss steps that we've taken to ensure that there is no disruption in District services on January 1, 2000.

Despite the serious challenges that we face, including a late start, significantly outdated technology and a broken governmental structure, I believe much progress has, in fact, been made. Many agencies, particularly the public safety agencies, Metropolitan Police Department, Fire and Emergency Services, Department of Corrections, Emergency Management Agency, are well on their way toward Y2K compliance, and that is detailed in my written testimony. And I won't go into it in detail, but I do refer you to it.

In her testimony, Susan Peck, our chief technology officer, will provide specific details regarding our Y2K remediation efforts. Y2K is a top priority, and we are treating it as such. We've instituted a monitoring function to track the progress of our activities and eliminate obstacles to their success.

The status of the Y2K project is on the agenda of every weekly cabinet meeting that I personally chair. Since May, I have also in addition to this conducted an executive steering committee meeting every 2 weeks specifically to review the progress on Y2K. In addition to all of our agency heads that I mandate that each of them personally attend this meeting, John Koskinen, the President's Y2K chair, and representatives from the GAO and OMB attend these meetings.

Additionally, the city administrator has daily meetings with key project and supply line staff to review the activities required to ensure that the District is functioning as we intend. In addition, we have initiated a resource review panel to conduct detailed implementation reviews.

We're working closely with this panel, which reports directly to the city administrator, and is comprised of the agency senior managers in charge of major Y2K efforts, the chief technology—excuse me, chief financial officer, as well as our chief procurement officer.

The resource review panel charter is to, No. 1, assess the state of Y2K readiness of the District's most critical business processes; and, two, prioritize the allocation of resources to the tasks which remain in order to ensure continuity and operations.

The panel's initial reviews were completed earlier this week, and in the coming days we will have their report depicting a more clear view of the scope and priorities of the work that remains.

Let me say a word about contingency planning. We believe that the most critical agencies have a low risk of failure; however, we are taking nothing for granted and have conducted extensive contingency planning in all of the mission critical agencies. Additional work is scheduled for rigorous testing of these contingency plans. Our contingency planning is being performed in two phases within each agency. In phase 1, we're formulating our alternative means of doing business should a failure occur; and in phase 2, we rehearse what is necessary should any contingencies be needed.

Specifically, the second phase consists of making sure that plans are feasible, resources are in place to implement the plans and the plans are tested. We're being proactive in our contingency planning by ensuring that funding is in place and appropriate procurement actions are taken. We've completed phase 1 contingency planning except in a few isolated instances and have begun phase 2 planning in many areas.



For example, in Department of Public Works, we've conducted simulations as well as field tests. Tomorrow, Saturday, we will test the administrative aspects of business processes for snow removal, and a field test will be conducted later this year. Now as you can imagine, this process has been made even more important by special events that will be held on the Mall on New Year's Eve, such as the millennium event. So what is already logistically challenging has now increased in geometric proportion, but I believe we will be prepared for that.

We're also planning and practicing for less visible but equally important business processes. I believe we have sound plans for payroll and pensions. We have detailed procedures for Medicaid payments, disability compensation and other related financial systems. We have plans for emergency procurements and facilities management. And we have plans for health and medical processes.

In fact, of the 86 business processes that we have identified as critical, we have contingency plans completed for all but three, two of which will be complete this month, and the remaining one will be completed next month.

While the contingency plans are critical to our Y2K success, they will also serve as foundation for future business process improvement efforts. Now, in terms of various areas of concern, while I am pleased with our progress, we take nothing for granted; therefore, we have tasked our city administrator with conducting an independent review, and this is typical of all major systems efforts and independent verification validation of our District's Y2K efforts.

An international accounting and management consulting firm conducted this and delivered a preliminary draft of their findings earlier this month. Given their findings, we have two areas of concern. The first concern and most troubling to me as a former CFO is a lack of stringent financial management and tracking for the Y2K effort. While the bulk of costs have been incurred for IBM services and these costs can be tracked at the various levels, the District currently cannot frankly and candidly attribute expenditures to specific agencies or Y2K functions.

This Wednesday, September 22nd, a new financial team was put in place to, one, support day-to-day operations, and within the coming weeks, give us a detailed depiction of these expenditures.

Second, because of our late start, we were forced to deploy numerous resources simultaneously and conduct many activities in parallel. Specifically, responsibility for mediation and testing of mission critical systems and applications is shared by both the Y2K project office and individual agencies.

This strategy has led to a somewhat fragmented management structure and inconsistencies in reporting of progress. We will continue conducting the resource review panel in daily city administrator's Y2K meetings; in the coming days, we will take the necessary actions to strengthen the program management for this critical close of this activity.

We are committed to implementing a sound process to not only get this project done in a timely fashion, get it done in an effective fashion, but get it done in terms of financial and management reporting that gives everyone the confidence and comfort level that I think this project deserves.

I have additional testimony, but it's in writing and will be submitted for the record. And I thank the committee for the opportunity to appear today and answer later any questions you may have.

[The prepared statement of Mayor Williams follows:]



ANTHONY A. WILLIAMS  
MAYOR

**Y2K Conversion Compliance**

**Testimony of Mayor Anthony Williams**

**Subcommittee on the District of Columbia  
Committee on Government Reform  
U.S. House of Representatives**

**September 24, 1999**

**Introduction**

Chairman Davis, Congresswoman Norton, and Members of the Subcommittee, I appreciate the opportunity to appear before you today to discuss the District's Year 2000 (Y2K) readiness efforts. Before I begin my prepared statement, I'd like to take a moment to acknowledge and thank Delegate Eleanor Holmes Norton for her assistance in facilitating the approval of the District's funding requests and for her diligence in working to ensure that Y2K remained a priority for this administration. I would also like to thank the Congress and White House for their continued support of our Y2K efforts.

In my February testimony I acknowledged that the District was behind almost every comparable municipality in its Y2K compliance and stated that our late start would not prevent us from a successful completion of the Y2K project. While I am still committed to that promise, I must also acknowledge that there is much work to be done in a very short time. Throughout my testimony, I will discuss the steps we've taken to ensure there is no disruption in District services on January 1, 2000.

**Progress to Date**

Despite the serious challenges we faced, including a late start, significantly outdated technology and a "broken" governmental structure, I believe much progress has been made. Many agencies, including the public safety agencies (i.e., the Metropolitan Police Department, Fire and Emergency Services, Department of Corrections and Emergency Management Agency) are well on their way to Y2K compliance. For example,

- The Computer Aided Dispatch (CAD) system within the Fire and Emergency Medical Services has been fully remediated, tested and returned to production. The CAD system receives and dispatches fire related emergency and non-emergency call transferred from the central 911 operation at the Metropolitan Police Department. The CAD system has never lost a call, nor do we expect it to do so.
- In the Metropolitan Police Department, we replaced the antiquated data center mainframe and network processors, upgraded the operating systems and put rigorous process control procedures in place. These replacements and upgrades will ensure our officers have access to the information they need to secure the safety of the District's residents and visitors.
- All 1,500 traffic signals have been fully remediated by the Department of Public Works and are now Y2K compliant. All streetlights have been fully tested and deemed to have no date sensitive components and are therefore, Y2K compliant. Y2K won't be cause of any bottlenecks as rush hour begins on January 2, 2000.
- Nearly 16,000 pieces of equipment within the DC Public Schools were inventoried, including fire alarm systems, HVAC control systems and electrical systems. Of the nearly 16,000 inventoried, only three (3) non-compliant components await replacement. Which means the District's schools will be functioning for our children.

In her testimony, Suzanne Peck – the District's Chief Technology Officer – will provide specific details regarding the Y2K remediation efforts.

Y2K is a top priority and I am treating it as such. I have instituted a monitoring function to track the progress of our activities and eliminate obstacles to our success. The status of the Y2K project is on the agenda for all weekly Cabinet Meetings. Since May, I have conducted Executive Steering Committee Meetings every two weeks specifically to review the progress on Y2K. In addition to the Agency heads, John Koskinen and representatives from GAO and OMB attend these meetings. Additionally, the City Administrator has daily meetings with key project and supply line staff to review the activities required to ensure the District is functioning on January 1.

Recently, I initiated a Resource Review Panel to conduct detailed implementation reviews. I am working closely with this Panel, which reports directly to the City Administrator and is comprised of the Agency's senior managers in charge of the major Y2K efforts, the Chief Financial Officer and the Chief Procurement Officer. The Resource Review Panel's charter is to (1) assess the state of Y2K readiness of the District's most critical business processes and (2) prioritize the allocation of resources to the task which remain in order to ensure continuity in operations. The Panel's initial reviews were completed earlier this week and in the coming days we will have their report depicting a more clear view of the scope and priorities of remaining tasks.

### Contingency Planning

We believe that most critical agencies have a low risk of failure. However, we are taking nothing for granted and have conducted extensive contingency planning in all mission critical agencies. Additional work is scheduled for rigorous testing of these contingency plans.

Our contingency planning is being performed in two phases within each Agency. In Phase 1 we are formulating alternative means of doing business should a failure occur. Phase 2 is the rehearsal should any contingencies be needed. Specifically, the second phase consists of making sure that the plans are feasible, resources are in place to implement the plans and the plans are tested. We are being proactive in our contingency planning by ensuring the funding is in place and the appropriate procurement actions are taken.

We have completed our Phase I contingency planning except in a few isolated instances and have begun Phase II planning in many areas. For example, the Department of Public Works has conducted simulations as well as field tests. Tomorrow (Saturday) we will test the administrative aspects of the business process for Snow Removal and a field test will be conducted later this year. As you can imagine, this process has been made even more important by the special events that will be held on the Mall on New Years Eve, a time when snow could add complexity to an already logistically challenging event. We will be ready for snow and we will be ready for the surge of visitors to the mall.

We are also planning and practicing for less visible but equally important business processes. We have sound plans for payroll and pension. We have detailed procedures for Medicaid Payments, Disability Compensation and our financial systems. We have plans for emergency procurements and facilities management and we have plans for health and medical processes. In fact, of the 86 business processes that we have identified as critical, we have contingency plans completed for all but three. Two of which will be complete this month and the remaining one will be completed next month.

While the contingency plans are critical to our Y2K success, they will also serve as the foundation for our future business process improvement efforts.

### Areas of Concern

While I am pleased with our progress, I take nothing for granted. Therefore, I tasked the City Administrator with conducting an independent review of the District's Y2K efforts. An international accounting and management consulting firm conducted this and delivered a preliminary draft of their initial findings earlier this month.

Given their findings, I have two areas of concern. The first concern and most troubling to me as a former Chief Financial Officer, is the lack of stringent financial management and tracking for the Y2K effort. While the bulk of costs have been incurred for IBM services and these costs can be tracked at various levels, the District currently can not attribute expenditures to specific agencies or Y2K functions.

This Wednesday, September 22, 1999 a new financial team was put in place to support day-to-day operations for Y2K. Within the coming weeks, I will have a detailed depiction of the District's Y2K expenditures to date that I can stand behind.

Second, because of our late start we were forced to deploy numerous resources simultaneously and conduct many activities in parallel. Specifically, responsibility for remediation and testing of mission critical systems and applications is shared between the Y2K project office and the individual agencies. This "divide and conquer" strategy led to a somewhat fragmented management structure and inconsistencies in reporting of progress.

We will continue conducting the Resource Review panel and daily City Administrator's Y2K meeting. In the coming days, I will continue to take the necessary actions to strengthen the program management for this crucial endeavor. I am committed to implementing a sound process to keep everyone on track from here on out and I am confident we will succeed.

#### **Closing**

I can assure you that we are addressing every contingency so that the City's services will continue to be delivered on January 1, 2000. We have made significant progress with our remediation, testing, and contingency planning especially in the critical areas of public safety and public works. We recognize there are isolated cases where remediation has slipped from the original schedule, but with intensive focus and support we can and will get to where we need to be at the turn of the Century. Nothing is being taken for granted.

Again, I appreciate the opportunity to appear before you today and address this crucial issue. I would be glad to respond to any of your questions at this time.

Mr. DAVIS. Thank you very much.

Ms. Patterson.

Ms. PATTERSON. Thank you, Mr. Chairman. Good morning, I am Kathy Patterson. I'm the chairman of the D.C. Council's Committee on Government Operations which has oversight responsibility for information technology. Chairman Linda Cropp asked me to testify on her behalf on the District's efforts to ensure Y2K compliance.

We have made considerable progress during the last year, and we have adhered closely to the timetables set out by Mrs. Peck when she became chief technology officer last year. In the final months of the project, we have very little margin for error, with remediation targeted for completion at the end of this month and the implementation of fully compliant and tested systems scheduled for November. Yet there has been abiding strengths in this process.

The District's Y2K project has demonstrated the ability to track progress or the lack thereof very closely and to take quick and effective corrective action when needed.

At one point or another, for example, the District's information technology systems for payroll, unemployment insurance and criminal justice systems have verged on Y2K failure. But the project staff have intervened and resolved those problems. To date the District has not experienced any Y2K-related failures. This is important empirical evidence because many programs have already begun inputting dates into the year 2000 and beyond.

Although the outcome of Y2K project is largely in the hands of agency managers, the legislature has a continuing and important role. The Council and its committees must maintain oversight of this effort. And we have used our law making powers to aid in the conversion. During the past year and a half the Committee on Government Operations has held a regular series of oversight hearings on Y2K and has also reviewed the progress of the project in budget performance review and management reform hearings.

We've had joint hearings this year, three to date, on Y2K and human services, public safety and public utilities in partnership with relevant other council committees. Our final Y2K hearing on contingency planning is set for November 17th. This past Wednesday we had an overview of Y2K readiness on the part of public utilities, specifically Pepco, Washington Gas and Bell Atlantic; each witness representing each utility testified that they are Y2K ready.

One concern I have coming out of that hearing is the oversight to date by the Public Service Commission. The PSC began its Y2K oversight last year but did not until this September contract with a consultant for independent verification, and validation of all the readiness statements made by the utilities themselves. The commission's consultant is scheduled to report in mid-November on that effort.

Another concern raised by public witnesses Wednesday concerns areas of readiness in areas that are not strictly speaking government responsibilities, such as the supply chain for food, health equipment and medicine and other critical commercial goods, and we are adding such issues to the schedule for our November oversight hearing.

One concern raised by the utility witnesses was the impact of the celebrations on the Mall on other public safety resources. The abil-

ity of a Pepco repair truck to get to the hospital with a power outage will depend on police assistance, for example, and ongoing discussions among the utilities, the public safety agencies, facilitated by our emergency preparedness agency and the technology office, will address these concerns.

We cannot rely on self reports. We must insist on independent verification and validation for utilities as well as our own government agencies. I am pleased that the District's chief technology officer, earlier contracted for two different sources of independent verification and validation, using alternate test methodologies for its own Y2K project, and we will continue to monitor the ongoing work of the District's Public Service Commission in this regard.

In addition to oversight, the Council has also used its legislative powers to support the successful Y2K conversion. In 1998, we established the Office of the Chief Technology Officer as a separate agency with authority for information technology policy standards and technical assistance.

We also enacted legislation, the Year 2000 Government Computer Immunity Act of 1998, which immunizes the District against any lawsuit or administrative action arising from Y2K failure. More recently, we acted swiftly to streamline our own contract review process to expedite Y2K procurements. In July again the Council acted to allow the receipt and approval of contracts during our legislative recess.

This rule change allowed several important Y2K contracts to go forward, including a 4.2 million contract for a unified computer aided 911 dispatch system for police and fire departments. The Council has been a partner in the Y2K effort in providing oversight and clearing away statutory and regulatory roadblocks.

Let me conclude my testimony with a note of optimism. The District's investment in the Y2K project and the anxiety and hard work that has accompanied it will pay off long after the final data field is fixed. Through this particular trial by fire, we have developed capacity in the information technology field that we simply did not have before.

We now have a strong and effective central technology office. We have technology standards to ensure that new systems and equipment are state-of-the-art. We have an inventory of all information technology systems and equipment. We've developed contingency plans that can serve as the basis for disaster recovery. We've replaced obsolete systems and are consolidating and upgrading our data centers.

We need to preserve and extend these gains by developing applications that will improve public services and by exploring new technologies such as electronic commerce.

Finally, I would like to comment very briefly on the article in today's Washington Post relative to Y2K funding and tracking. I do anticipate that the GAO witnesses will correct any of the overstatements contained in that news article. But I just would like to share a concern. There has been a tension evident in our government that derives from the extraordinary independence granted the chief financial officer by Congress during the control year.

That independence means that an operating agency director does not have a financial officer reporting to him or her. The agency



CFO reports instead to the District CFO. In the case of Y2K expenditure tracking, the Inspector General has noted difficulties in sharing data, and I suspect that this results at least in part from the fragmented responsibility.

The issue of the independence of the CFO is something we need to carefully consider as we contemplate moving out of the control year. It is my own view that in a reform government, financial officials should report to elected officials so we all know whom to hold accountable.

I would also just point out for the record that the Inspector General is also under my committee's oversight purview, and among our audit plans right now is an audit to determine whether the Office of the Chief Technology Officer has controls in place to ensure the reasonableness of expenditures and to properly account for and monitor funding amounts, so that audit work is ongoing.

Thank you very much.

[The prepared statement of Ms. Patterson follows:]



COUNCIL OF THE DISTRICT OF COLUMBIA  
WASHINGTON, D.C. 20001

KATHY PATTERSON  
COUNCILMEMBER, WARD 3

CHAIRPERSON  
COMMITTEE ON GOVERNMENT OPERATIONS

OFFICE: (202) 724-8062  
FAX: (202) 724-8118

Testimony of D.C. Councilmember Kathy Patterson  
before the House Subcommittee on the District of Columbia  
September 24, 1999

Good morning, Mr. Chairman and Members of the Subcommittee. I am Kathy Patterson, the Ward 3 representative on the D.C. Council and the Chairperson of the Council's Committee on Government Operations, which has oversight responsibility for information technology. Thank you for inviting me to testify today on the District's effort to ensure the Year 2000, or Y2K compliance of its computer hardware, software, and equipment.

There are now less than 100 days until the turn of the century and the District's Y2K project is in a race to the finish line. It is impossible to predict what will happen in the District on January 1, 2000, because Y2K is a unique challenge with too many unknowns.

Nevertheless, the conclusions of the Senate Special Committee on the Year 2000 Technology Problem in its recently issued 100-day report seem instructive to me and applicable to the District. Noting the heightened awareness of Y2K, as well as the intensified efforts by public and private organizations to fix and test their information technology systems, the Special Committee predicted that "Y2K problems will hit sporadically." The Special Committee further concluded that "The true extent of Y2K failures will match neither the most optimistic nor the most apocalyptic predictions."

That perspective – neither complacent nor alarmist – captures the complexity of the Y2K effort in the District. Although the District started its Y2K effort late, we have made considerable progress during the past year and have adhered closely to the timetables set out by Ms. Peck when she became Chief Technology Officer in June 1998. Some tasks have fallen behind schedule, while others have been completed ahead of time.

In the final months of the project, we have very little margin for error, with remediation targeted for completion at the end of this month and the implementation of fully compliant and tested systems scheduled for November. Yet in this final stage of the project, we have several abiding strengths. Most notably, the District's Y2K project has demonstrated the ability to track progress – or the lack thereof – very closely and to take quick and effective corrective action when needed.

At one point or another, the District's information technology systems for payroll, unemployment insurance, and criminal justice systems have verged on Y2K failure, but the Y2K project staff has been able to intervene and resolve the problems. To date, the District has not experienced any Y2K-related failures – and this is important empirical evidence because many programs have already started inputting dates in the year 2000 and beyond.

Although the outcome of the Y2K project is largely in the hands of agency managers and their technical staffs at this point, the legislature has a continuing and important role. First, the Council and its Committees must maintain oversight of the Y2K effort. Second, the Council must use its lawmaking powers to aid in the Y2K conversion.

During the past year-and-a-half, the Committee on Government Operations has held a regular series of oversight hearings on Y2K and has also reviewed the progress of the Y2K project in budget, confirmation, performance review, and management reform hearings. A list of our hearings is attached as an appendix to my testimony. This year, the Committee on Government Operations has held joint hearings, respectively, on Y2K and human services, public safety, and public utilities, in partnership with the relevant Council committee for each area. Our

final Y2K hearing, on Y2K contingency planning and public information, is set for November 17, 1999.

The Council hearing this Wednesday provided an overview of Y2K readiness on the part of public utilities -- specifically PEPCO, Washington Gas, and Bell Atlantic. Witnesses representing each utility testified that they are Y2K-ready. One concern that I have coming out of that hearing is the oversight to date by the Public Service Commission. The PSC began its Y2K oversight last year, but did not until this September 7 contract with a consultant for independent verification and validation of the readiness statements made by the utilities themselves. The Commission's consultant is scheduled to report in mid-November on that verification effort. We received testimony that a recent Department of Energy report, based on a very small sample of municipal utilities, found that just half of municipal utilities had completed their preparations for Y2K. This appears to contradict broader assessments by groups such as the president's Council on Year 2000 Conversion that the nation's large utilities are well-prepared, and is one item you may wish to look into further.

Another concern raised by public witnesses concerns the Washington region's readiness in areas that are not, strictly speaking, government responsibilities, such as the supply chain for food, health equipment and medicine, and other critical commercial goods. At this point we are adding such issues to the schedule for our November oversight hearing on Y2K readiness.

One concern raised by utility witnesses was the impact the celebrations planned for the Mall will have on District of Columbia public safety resources. The ability of a PEPCO repair truck to get to a hospital with a power outage will depend on police assistance, for example.

Ongoing discussions between the utilities and public safety agencies, facilitated by the Emergency Preparedness Agency and the technology office, need to address such concerns.

We cannot rely on agency or industry self-reports, but must insist on independent verification and validation, as well as sound contingency planning to ensure that we have alternate sources of communication, power, heating, and lighting if there are utility failures. I am pleased that the District has contracted for two different sources of independent verification and validation, using alternate test methodologies, for its own Y2K project, and we will monitor the ongoing work of the District's Public Service Commission to verify the Y2K readiness of our public utilities. The Chief Technology Officer has certified 90 of 94 mission-critical contingency plans and testing of those plans is now underway.

In addition to oversight, the Council has also used its legislative powers to support a successful Y2K conversion. One of the most important steps we took was in 1998, when we established the Office of the Chief Technology Office as a separate agency with authority for information technology policy, standards, and technical assistance. The Council also enacted legislation, the "Year 2000 Government Computer Immunity Act of 1998," which immunizes the District against any lawsuit or administrative action arising from a Y2K failure.

More recently, the Council has acted swiftly to streamline its own contract review process to expedite Y2K procurements. Most Y2K procurements involve costs of more than \$1 million over a one-year period and, under the Home Rule Act, must come to the Council for a review period of at least 10 days. Because a delay of even a few days could undermine the Y2K effort, I introduced emergency legislation, which was enacted by the Council in March, that deems Y2K

contracts to be approved upon their submission to the Council, if the Council has received a summary of the contract at least three days in advance.

In July, the Council acted again to allow the receipt and approval of contracts during summer recess – a departure from past practice. This rule change allowed several important Y2K contracts to go forward, including a \$4.2 million contract for a unified computer-aided 911 dispatch system for the Police and Fire Departments, and a \$6 million contract for independent verification and validation in the District's 18 mission-critical agencies. I thank Council Chairman Linda Cropp for her leadership on this issue.

In summary, the Council has been a critical partner in the District's Y2K effort in providing oversight and in clearing away statutory and regulatory roadblocks. We have worked closely and cooperatively with the Mayor, Chief Technology Officer, and the Financial Authority, and will continue to do so. I would also like to acknowledge the important partnership we have had with Congress and the administration on Y2K. The federal government has contributed more than \$100 million to the District's Y2K project – support that has been essential to our progress thus far.

Let me conclude my testimony with a note of optimism. The District's investment in the Y2K project – and the anxiety and hard work that has accompanied it – will pay off long after the final date field is fixed. Through this trial by fire, the District has developed capacity in the information technology field that it did not have before.

We now have a strong and effective central technology office. We now have technology standards to ensure that new systems and equipment are state-of-the-art and can share data. We now have an inventory of all information technology systems and equipment. We have

developed contingency plans that can serve as the basis for disaster recovery plans. We have replaced obsolete systems and are consolidating and upgrading our data centers. We need to preserve and extend these gains by developing applications that will improve public services and exploring new technologies such as electronic commerce.

Thank you for inviting me to testify today. I would be happy to answer any questions that you or members of the Subcommittee may have.



**Y2K RELATED HEARINGS HELD BY  
THE COMMITTEE ON GOVERNMENT OPERATIONS**

**May 20, 1998** -- A public hearing on the Year 2000 Issue and the Comprehensive Automated Personnel Payroll System

**July 6, 1998** -- A public Hearing on the Year 2000 Computer Conversion

**September 24, 1998** -- A public hearing on management reform in areas under the jurisdiction of Committee on Government Operations: Personnel, Procurement, Information technology, and Real Property Asset Management

**October 8, 1998** -- A public hearing on Bill 12-732, "The Year 2000 Computer Conversion Immunity Act of 1998"

**October 29, 1998** -- A public hearing on proposed resolution 12-1075, "Chief Technology Officer Suzanne Janes Peck Confirmation Resolution of 1998"

**February 16, 1999** -- A joint public hearing on the Year 2000 Computer Conversion and the District's Social Welfare Programs with Committee on Human Services

**June 28, 1999** -- A joint public hearing on the Year 2000 Computer Conversion and the District's Public Safety Programs with Committee on the Judiciary

**September 22, 1999** -- A joint public hearing on the Year 2000 Computer Conversion and Public Infrastructure and Utilities with Committee on Consumer and Regulatory Affairs

**November 17, 1999 (scheduled)** -- A public hearing on the Year 2000 Contingency Planning and testing for All Major District Information Systems

Mr. DAVIS. You summed up just as the red light turned. Good timing, that's experience.

Ms. Newman, thank you for being with us.

Ms. NEWMAN. Good morning, Chairman Davis and Congresswoman Norton and members of the subcommittee. I am representing the Financial Authority, and we're pleased to appear before you today to offer an update on the District of Columbia's progress achieving Y2K conversion compliance.

I will also address briefly the District's overall readiness and the challenges that remain. Achieving Y2K readiness is of critical importance to the District's ability to provide services to the city's residents and visitors alike. The authority's role in the District Y2K readiness is to provide this city with financial oversight and—you've got a red light on, I will talk fast though—financial oversight and technical review of key systems.

Technical review consists primarily for us identifying at risk systems and monitoring the status of their repair or replacement. In addition, preparation for the new millennium must include the development and testing of contingency plans to address the possibility that certain systems will not work as anticipated. System failures could result either from unforeseen problems in the District's own computer hardware and software or from glitches and service provided to the District such as telecommunications or electricity.

Recent reports indicate that marked progress has been made on a variety of critical projects under way to ready the District for January 1, the development of an inventory of all District computer systems and identification of systems within the inventory that are vulnerable to Y2K problems is complete.

In addition, nearly two-thirds of those assets either were found to be fully compliant, have been fixed and tested or were replaced with Y2K compliant systems. We expect to receive additional positive reports during the next few weeks as the District's aggressive schedule for the final phases of repair and testing is completed.

Finally, contingency plans have been developed for 89 of the 94 mission critical business processes that were identified within the District, and we understand that the remaining 5 will be submitted for review by the end of October.

With respect to the work that remains to be completed, the Authority is working with District officials to ensure that the highest priority be given to achieving Y2K readiness of all systems impacting, health, safety and economic welfare. In addition, we are monitoring the testing of contingency plans and working with the Mayor's office to ensure that adequate resources will be in place to respond to any emergencies that may arise on New Year's Day.

On the financial front, it is fair to say that the District was late in instituting rigorous financial accounting and reporting to account for the Y2K expenditures. We really should not offer and cannot offer an excuse for this, but to a significant extent this delay is simply a reflection of the District's late start overall in addressing Y2K problems.

A tight timeframe necessitated an extremely aggressive schedule of work in which securing resources to begin addressing Y2K took precedence over other considerations, including financial accounting and reporting. In spite of the tight schedules, however, the

Authority's determined to arrive at detailed accounting of the resources expended to address Y2K readiness. To this end, we are working closely with the Y2K program office, the chief financial officer and the principal vendors to identify all Y2K expenditures and relate them to work accomplished.

This concludes my prepared statement. I will have a couple of comments I would like to make in response to my friend the honorable Kathy Patterson, but I will do it later.

[The prepared statement of Ms. Newman follows:]

**CONNIE NEWMAN TESTIMONY VERSION 3**

Good afternoon Chairman Davis, and other members of the DC Subcommittee.

My name is Constance Newman, and I am the Vice Chair of the District of Columbia Financial Responsibility and Management Assistance Authority. The Authority is pleased to appear before you today to offer an update on the District of Columbia's progress in achieving Year 2000 (better known as Y2K) conversion compliance. We will also address the District's overall readiness, and the challenges that remain. Achieving Y2K readiness is of critical importance to the District's ability to provide services to city residents and visitors alike.

The Authority's role in District Y2K readiness is to provide the city with financial oversight and technical review of key systems. Technical review consists primarily of identifying at-risk systems and monitoring the status of their repair or replacement. In addition, preparation for the new millennium must include the development and testing of contingency plans to address the possibility that certain systems will not work as anticipated. System failures could result either from unforeseen problems in District-owned computer hardware and software, or from glitches in service provided to the District, such as telecommunications or electricity.

Recent reports indicate that marked progress has been made on a variety of critical projects underway to ready the District for January 1. The development of an inventory of all District computer systems, and identification of systems within the inventory that are vulnerable to Y2K problems, is complete. In addition, nearly two-thirds of those assets either were found to be fully compliant, have been fixed and tested, or were replaced with Y2K-compliant systems. We expect to receive additional positive reports during the next few weeks, as the District's aggressive schedule for the final phases of repair and testing is completed. Finally, contingency plans have been developed for 89 of the 94 mission critical business processes that were identified within the District, and we understand that the remaining five will be submitted for review by the end of October.

With respect to work that remains to be completed, the Authority is working with District officials to ensure that the highest priority be given to achieving Y2K readiness of all systems impacting health, safety, or economic welfare. In addition, we are monitoring the testing of contingency plans, and working with the Mayor's office to ensure that adequate resources will be in place to respond to any emergencies that may arise in the New Year.

On the financial front, it is fair to say the District was late in instituting rigorous financial accounting and reporting to account for Y2K expenditures. To a significant extent, this delay is simply a reflection of the District's late start overall in addressing the Y2K issue. A tight time frame necessitated an extremely aggressive schedule of work, in which securing resources to begin addressing Y2K took precedence over all other considerations—including financial accounting and reporting.

In spite of tight schedules, however, the Authority is determined to arrive at a detailed accounting of resources expended to address Y2K readiness. To this end, we are working

closely with the Y2K program office, the Chief Financial Officer, and the principal vendors to identify all Y2K expenditures, and relate them to work accomplished.

Mr. Chairman, this concludes my prepared statement. I will be happy to answer any questions.

Mr. DAVIS. Your green light is on.

Ms. PATTERSON. It's OK, I will do it later.

Mr. DAVIS. I wish Eleanor would have waited until later. I guess we can go to Susan Peck. Thank you.

Mrs. PECK. Chairman Davis, Representative Norton, members of the subcommittee, I'm Susan Peck, the chief technology officer for the District of Columbia. At the outset I would like to thank Mayor Williams for his strong leadership of the District's Y2K efforts.

We focused our Y2K efforts in the District on those city agencies that are most mission critical for the safety, health and well-being of District residents. These are on the chart to your left. We're tracking to a comprehensive aggressive plan to ensure that District provided services in these mission critical agencies are not—

Mr. DAVIS. Let me just interrupt you. I can't see anything. That's a little better.

Mrs. PECK. They begin with agencies, No. 1, Metropolitan Police Department, through No. 18, D.C. General Hospital, and are the critical—are the mission critical public safety, public health organizations in the city.

Mrs. MORELLA. Do we have a chart?

Mr. DAVIS. Let's turn them around. I think we've now located the charts here. You're not being charged for the time, and turn this around so the audience and the press can and the cameras can see it.

Mrs. PECK. There's 18 because they are pneumonics on your chart. The Metropolitan Police Department, No. 1; Fire and Emergency Management, No. 2; Emergency Management Association, No. 3; the Water and Sewer Authority; Department of Health; the Department of Human Services; Department of Employment Services; the chief financial officer; the Department of Public Works; the Department of Corrections, D.C. Public Schools; Consumer and Regulatory Authority; the lottery; contracts and—Office of Contracts and Procurement; Office of Personnel; the Mental Health Authority, which is St. Elizabeth's; University of the District of Columbia; PBC; and No. 19 are agencies which are not themselves mission critical, but have mission critical functions.

Our plan for the District is on two tracks. First, we are finding and fixing all date-related problems in the District's mission critical computers and equipment. And second, we are building and testing alternate operating plans, contingency plans, for every mission critical business process that delivers services to District residents.

Let me bring you up to date on where we are in our find and fix plans for the systems and equipment in the District. Of 370 business applications in the District's inventory, 242 or 65 percent are Y2K ready as they stand, remediated, tested and production ready. Of these same 370 systems, 223 have been designated as mission critical. Of these, 130 are Y2K ready as they stand; 23 remain to be remediated; 39 have been remediated and are in testing; and 31 are in process of testing only.

The last of the 223 mission critical systems will be completing their testing by the end of October with return to production planned for November. We're remediating mission critical systems in 38 partitions or packets of like systems. Four of these partitions

are on slippage watch, meaning that an especially focused attention is being paid and substantial resources infused to assure their schedule recovery and timeliness.

Our current strategy is to focus even more now on recovering any slippage watch systems in priority order on using our management data to help us pay meticulous attention to slippages when they first occur and to prioritizing our resources to the District's most mission critical areas.

Of our embedded chip assets, including equipment as varied as traffic control signals, utility meters, copiers, metal detectors and defibrillators, as of August 30th, over 63,000 of these assets were inventoried in the District; 25,000 of these are mission critical, but as we stand today, only 368 or 1.5 percent still need to be fixed or repaired.

Contingency planning continues to be a major focus of the District's Y2K initiative. We focused our planning on 94 critical services. I'm pleased to report that the phase 1 contingency planning activities, the writing of the contingency plans, is completed for 90 of those 94 critical business processes; plans for the remaining 4 processes will be completed by the end of October.

Phase 2 contingency planning has begun and falls within the scope of responsibility of the city administrator. Implementation and testing of these plans in their agencies is expected to complete in November.

The Y2K schedule we've managed is one we've maintained despite numerous hurdles, impediments and discoveries that have broadly expanded the scope of the project as it was originally envisioned and defined. The extent of dedicated pre-remediation technical assistance required in order for the actual systems remediation to progress in the District was simply not anticipated at the project's outset.

These activities have absorbed a substantial percentage of the project's resources. We've also experienced substantial challenges with our financial management.

With all of these challenges, however, and, nevertheless, Y2K has had significant positioning advantages for the District's future technology improvement plans. The presence of over 300 business and technical professionals across the agencies has infused new levels of technical expertise, business planning, project management and task management into agency structures.

And in many other ways, the Y2K project is also helping us move to a performance-based technology culture for the future in the District.

Thank you.

[The prepared statement of Mrs. Peck follows:]

GOVERNMENT OF THE DISTRICT OF COLUMBIA

OFFICE OF THE CHIEF  
TECHNOLOGY OFFICER



ONE JUDICIARY SQUARE  
441 4TH STREET, N.W., SUITE 9305  
WASHINGTON, D.C. 20001  
202-727-2277  
FAX 202-727-6857

TESTIMONY OF

SUZANNE PECK  
CHIEF TECHNOLOGY OFFICER  
GOVERNMENT OF THE DISTRICT OF COLUMBIA

BEFORE THE  
SUBCOMMITTEE ON THE DISTRICT OF COLUMBIA  
COMMITTEE ON GOVERNMENT REFORM  
U.S. HOUSE OF REPRESENTATIVES

SEPTEMBER 24, 1999



Chairman Davis, Representative Norton, and Members of the Subcommittee:

I am Suzanne Peck, the Chief Technology Officer for the Government of the District of Columbia. I am pleased to be able to appear again before your Subcommittee to provide current information on the status of the Y2K initiative in the District.

Before I begin my testimony, I want to take this opportunity to recognize and thank Mayor Williams for his leadership of the District's Y2K efforts. As you've heard from the Mayor's testimony today, he's elevated the Y2K effort to the highest priority in the day-to-day operations of District government and is pledged to continue that focus from now through the millennium date change. Our efforts are now also guided by a Year 2000 Executive Steering Committee, chaired by Mayor Williams, which now meets twice monthly and reviews the progress and status of the project, identifies areas of strategic concern, and reviews recommendations involving the delivery of critical services. The Steering Committee is comprised of the heads of the 18 mission-critical agencies and includes representatives from the D.C. Financial Responsibility and Management Assistance Authority and the City Council. These meetings are regularly attended by John Koskinen, Chairman of the President's Council on Year 2000 Conversion, Sally Katzen, Counselor to the Director, Office of Management and Budget, and by representatives of the General Accounting Office.

When we initiated the Y2K Project in the District 15 months ago, our first task was to prioritize all agencies in the District government by the critical nature of their missions in serving the needs of the residents of the District. We identified the critical agencies and departments that must function on January 1, 2000 for the safety, health and well-being of District residents. We've focused our efforts on these agencies that are most "mission-critical" by these standards, ranked in priority order by criticality.

These agencies – from # 1 Metropolitan Police Department to # 18 D.C. General Hospital – have a collective mission to ensure public safety and health and to uphold the public trust. They have first call on our technical, financial and human resources. Over the next 90 days and through March of 2000, our most important task is to effectively manage the risk of interruptions to the essential services delivered to District residents by these agencies.

The District is tracking to a comprehensive, aggressive plan to ensure that District-provided services are not interrupted as we enter the new year. Our two-track plan continues on a schedule established in July of 1998. To date, every early Y2K failure date in the city has been successfully averted. The plan's two tracks are:

- ❖ First – we are finding and fixing all date-related problems in the District's mission-critical computers and equipment, and
- ❖ Second – we are building and testing alternate operating plans, contingency plans, for every mission-critical business process that delivers services to District residents. Our goal is to make sure that, in case of any short interruption anywhere, every critical city service continues to be delivered to residents and businesses.

Let me bring you up-to-date on where we are with our “find and fix” plans for the systems and equipment in the District of Columbia. The original plans for this project had us completing our inventories and finishing all of our assessments in May. We have held precisely to that schedule.

When we last appeared before your subcommittee in February, we reported that the District's inventory consisted of 336 business applications, of which 84 were Y2K-ready as they stood (remediated, tested, and production-ready), 117 required remediation and testing by the Y2K project, and 135 were being remediated by their agencies or vendors and required testing only. Of the 117 applications, 27 had been remediated, three were in the testing phase, and none of the identified applications had been returned to production.

Our systems inventory and assessment process discovered 34 new systems, bringing the total to 370 business applications in the District's systems inventory. Of these 370 applications, 242 (65%) are Y2K-ready as they stand (remediated, tested, and production-ready).

Of the remaining 128 applications, 25 remain to be remediated, 40 have been remediated and are in testing, and 63 are in process of testing only. All 128 systems will complete their testing by the end of October. All 370 applications will have been returned to production by the end of November.

Of the city's 370 systems, 223 are designated as mission-critical. Of these 223 mission-critical systems, 130 are Y2K-ready as they stand; 23 remain to be remediated; 39 have been remediated and are in testing; and 31 are in process

of testing only. The last of the 223 systems will be completing their testing by the end of October, with return to production planned for November.

We're remediating and/or testing the District's mission-critical systems in 38 partitions, or packets of like systems. Of the 38 partitions, 11 are fully complete, 22 will complete in September and October, and five will complete in November. Four are on "slippage watch," meaning that especially focused attention is being paid and substantial resources infused to assure their schedule recovery. So while we're generally tracking to our original aggressive schedule, and while our plan has always required that we run hard to the end, we're currently catching up on a few partitions and are very focused on them. As an example, insistence by a vendor on an incorrect systems description caused us to lose a month, and to have to reconvert and retest an entire system. To make up for lost time, we've moved to multiple testing shifts, multiple test partitions, an infusion of senior staff – in short, a full-court press – on this system.

Our current strategy is to focus even more on recovering any "slippage watch" systems (in priority order), on using our management data to help us pay meticulous attention to slippages when they first occur, and to prioritizing our resources to the District's most mission-critical areas.

We refer to all non-computer hardware devices containing embedded processors or chips as "non-IT" assets, and these include equipment as varied as traffic control signals, utility meters, copiers, metal detectors, and defibrillators. In February, we reported to you that we were in the process of identifying non-IT assets and assessing their need for remediation. At that time, we had found approximately 35,000 pieces of non-IT equipment across the District, and assessment had been completed on one-third of the assets that had been identified. We estimated at that time that approximately four percent of the assets would require repair, replacement or "work-around" to insure Y2K compliance. We were also just beginning to distribute to the individual agencies their assessment inventories, which included identified work stations, software, infrastructure and non-IT assets and their associated need for remediation.

As of August 30, over 63,000 non-IT assets – nearly double our original tally – have been inventoried, and all inventory reports have been completed and delivered to the District agencies. Approximately 25,000 non-IT assets have been designated as mission-critical – necessary components in the deployment of critical business processes. Of these, only 368 – or one and one-half percent – still need to be fixed or replaced. We continue to work with the offices of

the Chief Financial Officer and Procurement to assist the agencies in their efforts to purchase Y2K-compliant replacement equipment. We expect that all critical business-related assets will be Y2K-ready by the end of October.

In addition, we have inventoried over 15,000 personal computers across all District agencies. Of the 15,000-plus PC's and desktop systems, nearly 80 percent are Y2K-compliant. All mission-critical PC's will be fixed or replaced by November 30.

To insure that the District's most important services in public safety, health care, human services and government administration continue unimpeded through the millennium period, contingency planning continues to be a major focus of the District's Y2K initiative. The overriding goal of our contingency planning effort is to insure that alternative operations will be in place and ready to execute if there are any unforeseen interruptions in critical services due to Y2K-related systems problems.

In February, we had completed our contingency planning pilot projects, which effectively validated the approach and methodology that we developed in conjunction with IBM, and had just begun our work with the agencies -- Phase 1 of the contingency planning process. Phase 1 contingency planning activities include the identification and analysis of individual business processes and services for which an agency is responsible; prioritization of those processes by criticality to the agency's overall mission; and development of detailed, written contingency plans for these critical business processes.

We've focused our planning on 94 critical services -- 88 of which reside in the 18 mission-critical agencies that are most important to serving and protecting our residents. The remaining six services occur outside of these agencies, but serve a critical population or purpose, such as the enforcement of child support payments, which is a responsibility of the Office of the Corporation Counsel.

I am pleased to report that Phase 1 activities have been completed for 90 of the 94 critical business processes, and plans for the remaining four processes will be completed by the end of October.

Phase 2 of the contingency planning process has begun and falls within the scope of responsibility of the City Administrator. In Phase 2, business processes are also ranked by criticality and by the potential impact of an interruption to each business process. The written contingency plans for each process are implemented, each stage is tested, and the plans are deployed in a

normal operating environment. Phase 2 is currently in process, and calls for all contingency plan implementation and testing to be complete by the end of November.

I want to stress again that we knew from the beginning of this project that the final return to production of repaired systems, the purchase and installation of equipment to replace non-compliant equipment, and the full development and testing of contingency plans would complete in the October and November, 1999 time frame. We are tracking, with recoverable slippages, to the aggressive schedule established when the project was initiated in June of 1998. We have managed to this schedule despite numerous hurdles, impediments and discoveries that have broadly expanded the scope of the project as it was originally envisioned and defined.

Some of those hurdles and expansions are instructive. We have had to divert resources and deploy special teams to individual agencies where basic system remediation efforts could not take place prior to specific issues and problems being addressed and resolved.

In the Metropolitan Police Department (MPD), for example, a special technical intervention team was assembled and sent to work alongside agency personnel to stabilize systems operations and install new Y2K-ready Data Center hardware and software. Special technical assistance was also required to prepare critical law enforcement and information systems prior to remediation. These systems, which link District law enforcement activities with federal databases, are integral to the provision of effective public safety services.

For the Department of Employment Services (DOES), where over a decade of disinvestment in technology has left the agency with insufficient resources to manage Y2K conversion efforts, a special team of system analysts and programmers has been provided to augment and support DOES' existing technical personnel. The degraded operational environment of DOES' Data Center led the District and the U. S. Department of Labor (DOL) to assess, prioritize and implement a migration of all software and hardware systems to an interim, Y2K-compliant Data Center. This migration is now concluding, and DOES is experiencing significant improvements in the delivery of system products, such as unemployment checks and employment benefits to District residents.

The University of the District of Columbia's Data Center has also been migrated to an interim, Y2K-compliant Data Center.

In the Office of the Chief Financial Officer, an infusion of technical management resources was required to support the remediation of systems within the Office of Pay and Retirement Services. These critical applications interface with the U.S. Treasury Department and support functions that process payroll and pension checks for both District and federal retirees.

The extent of dedicated "pre-remediation" technical assistance required in order for systems remediation to progress in District agencies was simply not anticipated at the project's outset. These activities have absorbed a substantial percentage of the project's technical resources and have added a significant level of technical resource expenditure to the project's bottom line.

Equally as critical as the repairs and upgrades being made to the major systems supporting District services, is the preservation of the integrity of those efforts past the Year 2000 date change. This is a particular challenge in the District where we have had such a significant lack of investment in technology and trained support personnel for such a long period.

One of the most critical areas in which we must preserve the District's Y2K investment is in the area of clean data management. Clean management means providing the tools, personnel and processes which assure that Y2K-remediated systems have not been overlaid, replaced, or altered in their production environments by unauthorized, rogue versions of the systems.

As I previously mentioned, at the University of the District of Columbia and the Department of Employment Services, the major systems and their operating environments had been so neglected that we have had to move them – literally – to a new, protected site so that we could guarantee that the Y2K systems which were remediated were the systems that were actually running and running in a Y2K-ready production environment. In our remaining six Data Centers, we're installing control software to ensure that correct, Y2K versions of applications software are running in production.

Every organization, even those with the most successful Year 2000 projects, will soon face a significant challenge as they work to maintain and capitalize on their Y2K compliance efforts.

It's important to remember that when Y2K is over, the District's overall technology infrastructure needs will still be great. Y2K efforts have been focused on existing, legacy information systems with the primary goal of fixing code to recognize the millennium date change. In the past 14 months we've

been very focused on stabilizing our information infrastructures rather than advancing them.

Nevertheless, Y2K has had significant positioning advantages for the District's future technology improvement plans. The presence of over 300 business and technical professionals across the agencies has infused new levels of technical expertise, business planning, project management and task management into agency structures. The Y2K project is also helping us move to a performance-based technology culture in the following ways:

- It forces people to recognize the technical and business process dependencies among themselves;
- Agencies are much more of a community – they are more focused on their city-wide missions, dependencies and interactions;
- The presence of consultants has resulted in a general technology knowledge transfer – and a general level of operational advice and counsel available to agencies which they otherwise would not have had;
- New city-wide technology standards and efficiencies have been put into place, resulting in substantial capital savings and increasing productivity;
- Our Data Centers have been enhanced because of clean management requirements and are more efficient. We are well positioned for further Data Center efficiencies in the future.

In order for the District to sustain and leverage the knowledge base gained in the Y2K effort, it must make a substantial investment in skilled technical personnel, data and technology infrastructure.

A transition period where agencies maintain a level of technical support from the Y2K teams is critical. It is critical not only to protect the substantial investment that has been made in Y2K conversion, but to insure continued stability and an orderly transfer of acquired skills, knowledge and expertise from the Y2K team to agency staff.

Our transition plans call for maintaining a cadre of technical experts to provide on-going support to District agencies in FY 2000. The transition team will be comprised of technical consultants as well as District personnel with specific technical expertise. Transition team members have accumulated over a year of functional experience assisting District agencies as part of the Y2K project. We are in the process of defining the exact size of the transition team and the duration of their work.



As we approach the new millennium, the Mayor's technology strategy is to position the District government as a "city of access" and the electronic government model for the nation. By leveraging Internet technology, the District will provide direct, real-time access to our resident, business, education, community and digital democracy services. We envision a comprehensive program in which Internet-based technology services support and enhance the Mayor's priority goals and objectives for the city from a common "Window on Washington" Internet portal.

We are planning a group of projects to establish the technology infrastructure for this electronic government initiative. These projects will create the foundation for advancing the District of Columbia as an internationally recognized "technology city," who actively competes for and shares in the technology growth of our region. These projects, which we refer to collectively as "Tech City," will provide the District's residents with easy access to services, agencies with easy access to shared information, and businesses with easy access to regulatory processes.

We're currently focusing on several major projects under the "Tech City" umbrella. We're building District-wide Web hosting standards and support, and creating a web development environment for city agencies to support the "easy access to services" pledge of our electronic government initiative.

We're building DC-Net, a citywide institutional network, which will leverage current and new cable franchises to expand the city's available communications' infrastructures. This initiative will also position the District as a potential virtual "owner" of its own data and voice communications networks – a substantial competitive advantage in procuring telecommunications services.

And we're building citywide data repositories and data warehouses to provide easy access to multi-agency data that supports the Mayor's health, human services, and criminal justice initiatives.

Additionally we're very focused on major business process re-engineering projects in the Department of Human Services, in the Medical Examiner's Office, in the Department of Public Works, in the Department of Consumer and Regulatory Affairs, in the Department of Health, and in the Department of Employment Services.



I'd be pleased to brief a future Subcommittee hearing in detail on the District's Year 2000 technology transformation plans.

In closing, I would once again like to thank the Chairman, members of the financial Authority, the Mayor, the Council, OMB, the GAO staff, and senior members of the Subcommittee staff for your continued advice, support and good counsel.

Thank you for inviting me to speak to you today. This concludes my prepared statement, and I would be pleased to answer any questions you may have.

**DISTRICT OF COLUMBIA MISSION CRITICAL BUSINESS PROCESS Y2K CONTINGENCY PLANNING  
STATUS (9/23/1999)**

Agency	Critical Business Process	Plan Developed	Plan Assessed	Plan Implemented	Staff Trained	Plan Tested
MPD	Patrolling, Reporting, Investigation and Booking	✓	✓	1-Nov	8-Nov	15-Nov
	Records	✓	✓	15-Oct	22-Oct	30-Oct
	Property/Evidence	✓	✓	15-Oct	22-Oct	30-Oct
	Time & Attendance and Court Notification	✓	✓	15-Oct	22-Oct	30-Oct
FEMS	Fire Protection	✓	✓	1-Oct	15-Oct	1-Nov
	Emergency Medical Services	✓	✓	1-Oct	15-Oct	1-Nov
EMA	District-Wide Readiness	✓	✓	✓	✓	15-Nov
	Emergency Operations	✓	✓	✓	✓	30-Oct
	Plan Development/Training	✓	✓	✓	✓	✓
MPD, FEMS, EMA	911	✓	✓	1-Oct	15-Oct	1-Nov
WASA	Clean Water Delivery	✓	✓	✓	✓	30-Nov
	Wastewater Treatment	✓	✓	✓	✓	30-Nov
	Sewage Collection	✓	✓	✓	✓	30-Nov
DOH	Vital Records	✓	4-Oct	15-Oct	22-Oct	30-Oct
	Medicaid	✓	✓	✓	✓	✓
	Licenses Social Services Facilities	✓	4-Oct	15-Oct	22-Oct	30-Oct
DHS	Temporary Aid to Needy Families (TANF) Subsystem Monitoring and Evaluation	✓	✓	✓	✓	15-Oct
	Child Care Payments (OECD)	✓	✓	✓	✓	30-Sep
	Customer and Service Provider Payment (RSA)	✓	✓	✓	30-Sep	30-Sep
	Eligibility Determination and Benefits Issuance (ACEDS) <i>Programs: TANF, Food Stamps, Medical Assistance, GPA for Children, Refugee Cash Assistance, Diversion</i>	✓	✓	✓	✓	✓
	Youth Services	✓	✓	30-Sep	30-Sep	30-Sep
	✓	✓	✓	✓	✓	✓
DOES	Employment and Training (JTPA)	✓	1-Oct	15-Oct	22-Oct	30-Oct
	Unemployment Insurance	✓	✓	✓	29-Oct	5-Nov
	Summer Youth Employment	✓	1-Oct	15-Oct	22-Oct	30-Oct
	Disability Compensation	✓	✓	6-Oct	13-Oct	20-Oct
	Workers' Compensation	✓	✓	6-Oct	13-Oct	20-Oct
	Job Services	✓	1-Oct	15-Oct	22-Oct	30-Oct

**DISTRICT OF COLUMBIA MISSION CRITICAL BUSINESS PROCESS Y2K CONTINGENCY PLANNING  
STATUS (9/23/1999)**

Agency	Critical Business Process	Plan Developed	Plan Assessed	Plan Implemented	Staff Trained	Plan Tested
CFO	SHARE Data Center Management/OCIO	◆	1-Oct	21-Oct	26-Oct	29-Oct
	Collect Tax Revenue	◆	1-Oct	21-Oct	26-Oct	29-Oct
	Perform Payroll	◆	◆	15-Oct	20-Oct	29-Oct
	Pension System	◆	◆	15-Oct	20-Oct	29-Oct
	Treasury-Asset Management	◆	1-Oct	21-Oct	26-Oct	29-Oct
	Payroll Taxes Payment (OFOS)	◆	1-Oct	21-Oct	26-Oct	29-Oct
	Budgeting	◆	◆	◆	15-Oct	29-Oct
	Mission Support Center (Purchasing and HR)	◆	1-Oct	21-Oct	26-Oct	29-Oct
	Accounts Payable, Gen. Ledger, Financial Consolidations, Audits	◆	1-Oct	21-Oct	26-Oct	29-Oct
	Legal Affairs, Tax Revenue Audits	◆	Phase II not required			
DPW	Physical Infrastructure Management	◆	27-Sep	1-Oct	8-Oct	16-Oct
	Solid Waste Collection/Disposal	◆	◆	◆	◆	30-Sep
	Fleet Vehicle Maintenance	◆	◆	◆	◆	30-Sep
	Abandoned Vehicles	◆	◆	◆	◆	30-Sep
	Department of Transportation	◆	◆	◆	◆	30-Sep
	Financial Systems	◆	◆	◆	◆	30-Sep
	Traffic Signals	◆	◆	◆	◆	30-Sep
DOC	Case Management	◆	1-Oct	15-Oct	22-Oct	29-Oct
	Inmate Finance	◆	1-Oct	15-Oct	22-Oct	29-Oct
	Social Visitation	◆	1-Oct	15-Oct	22-Oct	29-Oct
DCPS	Educational Services	◆	◆	1-Oct	8-Oct	15-Oct
	Facilities Maintenance (includes security and transportation)	◆	◆	◆	28-Sep	30-Sep
	Food Services	◆	◆	◆	28-Sep	30-Sep
DCRA	Building Permits	◆	8-Oct	15-Nov	19-Nov	30-Nov
	Building Inspections	◆	8-Oct	15-Nov	19-Nov	30-Nov
	Elevator Inspections	◆	8-Oct	15-Nov	19-Nov	30-Nov
	Zoning Review	◆	8-Oct	15-Nov	19-Nov	30-Nov
	Building Plan Review	◆	8-Oct	15-Nov	19-Nov	30-Nov
	Corporate Registration	◆	8-Oct	15-Nov	19-Nov	30-Nov
	Business Licensing	◆	8-Oct	15-Nov	19-Nov	30-Nov
	Alcoholic Beverage Licensing	◆	8-Oct	15-Nov	19-Nov	30-Nov
	Occupational, Professional, Medical Licensing	◆	8-Oct	15-Nov	19-Nov	30-Nov
	Housing Inspection	◆	8-Oct	15-Nov	19-Nov	30-Nov
	Complaint Intake	◆	8-Oct	15-Nov	19-Nov	30-Nov

**DISTRICT OF COLUMBIA MISSION CRITICAL BUSINESS PROCESS Y2K CONTINGENCY PLANNING  
STATUS (9/23/1999)**

Agency	Critical Business Process	Plan Developed	Plan Assessed	Plan Implemented	Staff Trained	Plan Tested
Lottery	Finance/Accounting and Cash Receipts	◆	◆	◆	◆	◆
	Revenue Generation (lottery operations)	◆	◆	◆	◆	◆
	Promotions and Public Relations	◆	◆	◆	◆	◆
	Regulatory Practices/Reporting and Agent Preparation	◆	◆	◆	◆	◆
OCF	Vendor Payment and Procurement	◆	◆	◆	◆	◆
DCOP	Daily Personnel Transactions	◆	◆	◆	24-Sep	30-Sep
	Benefits and Compensation	◆	◆	◆	24-Sep	30-Sep
	Center for Workforce Development	◆	◆	◆	◆	◆
CMHS	Patient Care	30-Oct	13-Nov	11-Dec	11-Dec	18-Dec
	Facilities Management	◆	◆	◆	◆	30-Oct
	Patient Accounts	◆	Phase II not required			
	Patient Movement	◆	◆	◆	◆	30-Oct
UDC	Enrollment Management	◆	1-Oct	20-Oct	27-Oct	31-Oct
	Educational Services	◆	8-Oct	20-Oct	27-Oct	31-Oct
	Financial Resources Management	◆	1-Oct	20-Oct	27-Oct	31-Oct
	Administrative & Logistics Support	◆	8-Oct	20-Oct	27-Oct	31-Oct
DC General	Patient Care	◆	◆	1-Oct	8-Oct	15-Oct
	Business and Financial Management	◆	◆	◆	◆	1-Oct
	Infrastructure	◆	◆	◆	◆	30-Oct
Other	CFS (Child Vendor Payment)	◆	◆	13-Oct	13-Oct	15-Oct
	OPM (Facilities Management Services)	◆	30-Sep	1-Oct	8-Oct	15-Oct
	OPM (Purchase and Allocate Fuel Oil)	◆	◆	◆	◆	◆
	CTO (Wide Area Network)	◆	◆	◆	◆	◆
	CATV (CATV Network)	◆	◆	◆	1-Oct	15-Oct
	Corp. Counsel (Child Support Enforcement)	◆	◆	31-Oct	15-Nov	30-Nov
	TOTALS	86	85	52	36	28

Mr. DAVIS. Suzanne, thank you very much.

Mr. Brock, thanks for being here.

Mr. BROCK. Thank you, Mr. Chairman.

Good morning to the other members of the subcommittee. I've also had the privilege of testifying before Mrs. Morella and Mr. Horn on other Y2K issues such as the Postal Service and the Department of Defense.

I would like to briefly go over three topics; the Y2K status of the District, the challenges facing the District in the remainder of the year and opportunities for lessons learned.

In terms of the status, if you read my statement, you will see differences in the numbers between mine and Mrs. Peck's. I think this is largely attributable to, one, some differences in coverage, and, second, our cutoff date for our data was largely September the 16th, and she has had some updates since then.

In October, I testified before you, and I said that the District was a year late. And in February I testified before you, and I said the District was a year late. Today I'm testifying and the District is late. There's nothing to do about that. They started late and it's right against the wire, as the witnesses from the District have said.

And just so there won't be any misunderstanding as I get into my statement, I would like to say in our review of what people are doing to remediate the system, that we find that the District has an approach that's reasonable and that people in the District are working very, very diligently to take corrective action.

With that said, I would like to spend a little bit of time talking about the status. We're primarily looking at 18 mission critical departments. They are the top 18 agencies, and their Y2K office tracks 70 critical projects within those agencies. Right now, only 14, or at the time of the end of our review on the 16th, only 14 of those projects were implemented. That means we have another 56 that are still ready—that are still in the wings. They're either being renovated or they're being tested or they're in the final stages of implementation.

So there is still a significant amount of work to do before the end of the year. In terms of the contingency planning, at the time of our review the District still had 11 of their phase 1 plans to complete. Most of those were in the Office of Consumer and Regulatory Affairs, and I understand that since then several others have been completed.

The phase 2 planning, which is most important, that's when you take a piece of paper and you say we're going to do something to make it operational, we did not have the status of these plans at the time of the end of our review. They're under way, but we did not have the schedule as to when they're to be complete. So that's the status.

I think the most important part today—the status, is the status—are the challenges. And the District has 98 days, and we think that it has two principal challenges. The first challenge is that regardless of what's happened in the past there's a lot of work to finish, and some of these tests are scheduled late into November. A few are scheduled early in December. There's very little room for error. There's no room for error. If there are any additional slippages, then the District could be in trouble on some of these.

Second, of the projects that have not yet been completed, and our review of the schedules, shows some slippages. So slippages have occurred. Now, the District has made adjustments to their schedule to account for this, and they're still scheduled to be complete before the end of the year. But I bring this point up just to indicate that slippages can occur in schedules. This makes the contingency planning for systems and the business continuity planning all the more important.

So our recommendations to the District are ones that they've already recognized, that, one, the District needs to have a consistent source of information they use to make management decisions. And they need to keep their eye on the ball, as systems progress, as the projects progress, as the contingency plans progress, to look for evidence of slippages, to look for opportunities to reprioritize, if necessary to redirect resources, and to direct attention on the most important areas, so that in fact the District will have every assurance at the end of the year that it will be ready.

Last, I would like to address the opportunities that the District has, and I think these opportunities are significant. Mrs. Patterson and Mrs. Peck both recognize that there were things that occurred in the District in the past that were really things that you could take advantage of to improve in the future.

The simple reason the District is so far behind in addressing the Y2K problem is it did not have effective management at all over its information technology assets and projects. It had no management processes in place that provided adequate attention to the pending Y2K problem. As a result, it started late. Further, as Mrs. Peck indicated, once they got into the project, they found that there was no system documentation for many systems. They didn't have a complete inventory for systems.

It was difficult to get started by capitalizing on the efforts that they've had to go through in order to get to the stage they're at right now. The District has learned that Y2K efforts cannot succeed without the involvement of top-level managers at the agency level and at the city level.

The District has recognized that having complete and accurate information on information systems can facilitate remediation and testing and validation efforts. This is critical for any system development effort, whether it's for Y2K or otherwise. The District has developed a better understanding of its core business processes and has made some progress in prioritizing its mission critical systems based on their impact on these processes.

And then, finally, the District, like many other organizations that we've looked at, found that they needed to take special steps in order to increase their technical capabilities to address this problem, and they have in fact done so. I think these measures are appropriate for the District as they're looking for future technology management and hopefully they can learn from this.

That concludes my summary, Mr. Chairman.

[The prepared statement of Mr. Brock follows:]

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United States General Accounting Office

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GAO

Testimony

Before the Subcommittee on the District of Columbia,  
Committee on Government Reform, House of  
Representatives

For Release on Delivery  
11:00 a.m.  
Friday,  
September 24, 1999

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## YEAR 2000 COMPUTING CHALLENGE

### Status of the District of Columbia's Efforts to Renovate Systems and Develop Contingency and Continuity Plans

Statement of Jack L. Brock, Jr.  
Director, Governmentwide and Defense Information Systems  
Accounting and Information Management Division



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GAO/T-AIMD-99-297

Mr. Chairman and Members of the Subcommittee:

Thank you for inviting me to participate in today's hearing on District of Columbia's Year 2000 (Y2K) challenge. As you know, like most large operations, the District of Columbia is acutely vulnerable to Y2K problems due to its widespread dependence on computer systems for delivering important public services. If these problems are not solved before the end of the year, the District may be unable to effectively carry out its core business operations such as those to ensure public safety, collect revenue, educate students, and provide health care services. Today, I will discuss the District's progress in fixing its systems and the remaining risks it faces; the actions it needs to take to mitigate these risks over the next 3 months; and the recent experience it needs to capitalize on to strengthen long-term information technology management. In an accompanying statement, we discuss the District's efforts to keep track of the costs associated with addressing the Y2K issue.

Last October, we testified that the District was about 1 year behind recommended Y2K schedules but that positive steps were underway to accelerate its progress in fixing systems.<sup>1</sup> To make the most of the short time remaining, we recommended that the District promptly identify its most important operations, determine which systems supporting these operations could be fixed before the Y2K deadline, and ensure that business continuity and contingency plans are developed for core business operations for

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<sup>1</sup> Year 2000 Computing Crisis: The District of Columbia Faces Tremendous Challenges in Ensuring Vital Services Are Not Disrupted (GAO/T-AIMD-99-4, October 2, 1998).



which supporting systems can not be renovated in time. In February 1999, we testified that the District remained far behind schedule, but that its Year 2000 Program Office had taken positive steps to address our earlier recommendations.<sup>2</sup> We continued to stress, however, that the District's schedule allowed little time for corrective action if needed and vital services remained at risk. As such, we recommended that the District place increased emphasis on completing business continuity and contingency planning efforts and that key stakeholders participate in making critical decisions throughout the remainder of the project.

The District is largely following our recommendations. It has made notable progress in remediating mission critical systems and has made a good start in developing business continuity and contingency plans. However, because of its overall late start, the District still faces a very real problem: running out of time. Remediation measures for many mission critical systems are not yet complete; testing is far from finished; and schedules for some projects have slipped over the last several months. Further, even though the District has made a good start on the initial phase of its business continuity and contingency planning effort, it was not able to give us a complete overview of the status of the next—and most important—phase of its planning work, which will involve adding operational detail and testing of plans. Because so many critical tasks are scheduled for completion over the few remaining months, District management must place increased emphasis on ensuring that project cost and schedule data is accurate, that priorities are

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<sup>2</sup> Year 2000 Computing Crisis: The District of Columbia Remains Behind Schedule. (GAO/T-AIMD-99-84, February 19, 1999).

established to best focus resources on the remaining system remediation and testing efforts, and that business continuity and contingency planning is completed.

To prepare for this testimony, we conducted an overview of the District's recent efforts to address risks associated with the Y2K date change and compared these efforts to criteria detailed in our Year 2000 Assessment Guide,<sup>3</sup> Business Continuity and Contingency Planning Guide,<sup>4</sup> and Testing Guide.<sup>5</sup> We reviewed and analyzed a number of key project documents including the District's Enterprise Plan (including updates issued July 27, August 20, August 27, September 3, and September 16, 1999), the District's Quarterly Reports to the Office of Management and Budget (OMB), the District's Emergency Operations Plan, District contingency planning guidance, selected District contingency plans, and Year 2000 Program Office schedule variance reports. We interviewed District officials responsible for overseeing the Y2K effort, including the Interim City Administrator, the Chief Technology Officer, the Year 2000 Program

<sup>3</sup> Year 2000 Computing Crisis: An Assessment Guide (GAO/AIMD-10.1.14). Published as an exposure draft in February 1997 and finalized in September 1997, the guide was issued to help federal agencies prepare for the Year 2000 conversion.

<sup>4</sup> Year 2000 Computing Crisis: Business Continuity and Contingency Planning (GAO/AIMD-10.1.19). Published as an exposure draft in March 1998 and issued in August 1998, this guide provides a conceptual framework for helping organizations to manage the risk of potential Year 2000-induced disruptions to their operations. It discusses the scope and challenge and offers a structured approach for reviewing the adequacy of agency Year 2000 business continuity and contingency planning efforts.

<sup>5</sup> Year 2000 Computing Crisis: A Testing Guide (GAO/AIMD-10.1.21). Published as an exposure draft in June 1998 and issued in November 1998, this guide addresses the need to plan and conduct Year 2000 tests in a structured and disciplined fashion. The guide describes a step-by-step framework for managing, and a checklist for assessing, all Year 2000 testing activities, including those activities associated with computer systems or system components (such as embedded processors) that are vendor supported.

Manager, the Mayor's Year 2000 Contingency Planning Advisor, the Director of the Emergency Management Agency, the Director for Information Systems Audits in the Office of the Inspector General, and subject matter experts and staff in the Fire and Emergency Medical Services Department. We performed our work in Washington, D.C., between June 11 and September 20, 1999, in accordance with generally accepted government auditing standards.

THE DISTRICT OF COLUMBIA HAS FURTHER  
STRENGTHENED ITS YEAR 2000 PROGRAM, BUT  
IS STILL BEHIND SCHEDULE

In our earlier testimonies, we emphasized that the District was about 1 year behind recommended schedules, had no margin for taking corrective actions if needed, and consequently should complete business continuity and contingency plans as early as possible to allow time for their testing. Since our February testimony, the District has taken actions to strengthen its Y2K project management and continuity and contingency planning. For example, the District has done the following.

- Hired an outside contractor to review its project plan, which tracks baseline and actual milestone dates as well as completion progress, to identify inconsistencies in terms of task sequencing, critical path dependencies, and updating practices.

- Regularly updated its Year 2000 Enterprise Plan and produced a series of variance reports to identify and categorize project milestones extending beyond established date thresholds.
- Hired an outside contractor to oversee the contingency planning effort, establish planning priorities in accordance with current project risks, develop a mechanism for tracking plan implementation and testing in detail, and ensure that the Mayor is provided with accurate, up-to-date information on the contingency planning effort.
- Participated in the Metropolitan Council of Government's Contingency Planning drill held on September 1, 1999, and plans to conduct two drills of its own before January 1, 2000.
- Beginning in June, started to regularly convene its Year 2000 Steering Committee, chaired by Mayor Williams, that brings together top-level decision-makers from the District's 18 priority agencies, the Control Board, and City Council.
- Taken steps to establish consistent status reporting across agencies and reconcile differences in data reported by the agencies and the Year 2000 Program Office which were discovered when preparing the District's most recent Y2K status report for the OMB.

While these measures have helped the District to strengthen its ability to oversee the Y2K effort and to better target management attention on high-risk areas, the District has not been able to fully compensate for its late start. This is not surprising given the pervasive nature of the Y2K problem and the complexity involved in fixing systems and ensuring core business processes can continue operating into 2000, especially for a highly decentralized entity such as the District.

#### System Remediation Status

As of September 20, the District's Chief Technology Officer reported the status of the District's Y2K conversion effort for its mission-critical software applications as follows. Of a total of 223 mission-critical applications, 130 were tested and determined to be ready for the Y2K. Of the remaining 93 mission-critical applications, 70 were reported as currently undergoing testing and 23 were reported as still being remediated. It should be noted, however, that the status information being reported by the District's Chief Technology Officer is not consistent with information being reported separately by District agencies. For example, in its third quarter Y2K status report to OMB, the District's Year 2000 Program Office, reported that 74 systems are being replaced across the most important, "top 18" agencies, while the agencies report that 35 systems are being replaced. This raises the concern that District managers are not getting accurate enough data on system status on which to base their Y2K-related decisions. District officials told us that they are in the process of reconciling these data differences.

Status of Mission-Critical Projects in the District's Top 18 Agencies

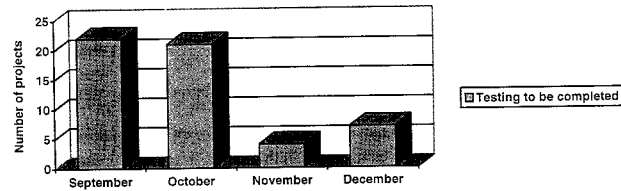
Given the short time left before the Y2K deadline and the extent of the work remaining, the District is now concentrating its efforts on 56 mission-critical projects across its top 18 agencies (which include, for example, the Metropolitan Police Department, Fire and Emergency Medical Services Department, Emergency Management Agency, Water and Sewer Authority, among other important agencies). The projects can include specific software applications, software infrastructure (e.g., computer operating systems, system utilities, and databases), and "porting"<sup>6</sup> software to Y2K compliant hardware. According to the District's Year 2000 Enterprise Plan, which was last updated September 16, 1999, a number of the 56 on-going projects are not scheduled to be tested or implemented until November and December 1999.

- Testing: As of September 16, the Year 2000 Enterprise Plan shows that four projects will not be tested until November and another seven in December. As shown in figure 1, this presumes that there will be no schedule slippage on the bulk of testing which is planned for this month and next month. While the District has no other option, completing this effort so close to the Y2K deadline is risky since the testing phase is extremely complex and time-consuming. Y2K conversions often involve numerous large systems with extensive supporting technology infrastructures. As such, before testing can even begin, organizations must develop test plans, define and secure test resources, establish the test environment, develop guidance, and ensure

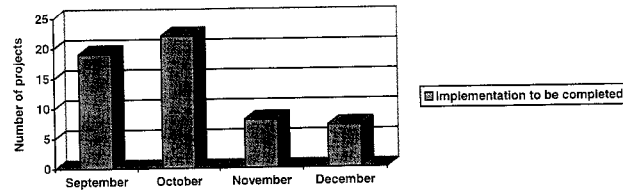
<sup>6</sup> Translating software to run on a different computer and/or operating system.

that vendor-supported products and services are Y2K compliant. Once this is done, tests need to be conducted in an incremental fashion, starting first at the software unit level and moving through software integration, and system acceptance. When feasible, organizations should also conduct end-to-end tests on their core business processes to ensure that the systems that collectively support the processes can still effectively interoperate.

Figure 1: Testing Schedule as of September 16



- Implementation: Similarly, the District plans to finish the implementation of eight projects during November and another seven in December. Figure 2 illustrates the District's schedule for completing its implementation work.

Figure 2: Implementation Schedule as of September 16

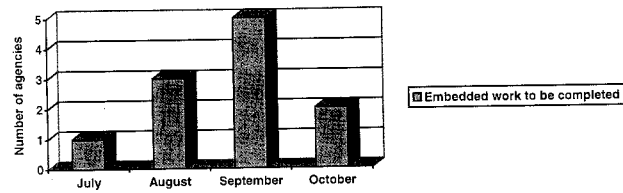
Additionally, the District's schedules are showing some slippage, further compounding its risk. Based on our analysis of the Year 2000 Enterprise Plan updates, we found that--since the end of July--29 projects have implementation milestones that have slipped an average of about 2 months.

#### Embedded Processor Conversion Schedule

The District reports it is faring somewhat better in fixing its equipment and infrastructure devices with embedded processors that are also vulnerable to Y2K problems (for example, elevators, medical equipment, and alarm systems). Seven of the District's top 18 agencies are reported to be 100 percent complete, 9 are reported to be between 91 and 99 percent complete, 1 is shown as 72 percent complete, and 1 is reported as 66 percent complete. Figure 3 illustrates the District's schedule for completing its embedded work.



Figure 3: Schedule for Completing Embedded Systems/Equipment as of September 16



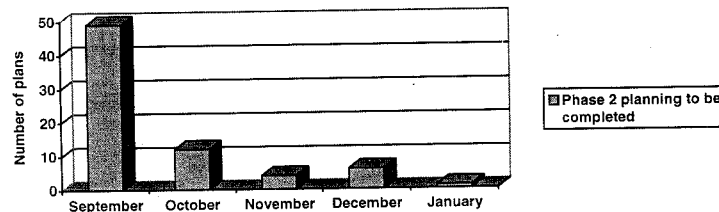
#### Business Continuity and Contingency Planning Schedule

Recognizing the risk associated with its Y2K schedule, the District has implemented a well-defined business continuity and contingency planning effort for its core business processes that is divided into three phases:

- **Phase 1** is focused on defining a high-level business continuity strategy for each core business process, providing a sense of response to key asset failures.
- **Phase 2** is focused on adding the detail to the plans needed for their testing, refinement, and execution. For example, continuity planning teams will document workaround procedures, describe business process interrelationships, and define resource requirements.
- **Phase 3** is focused on executing the plans and returning to normal operations.

These efforts, too, are running late. The District's September 16 Enterprise Plan for its top 18 agencies shows that, although Phase 1 is largely complete, 11 Department of Consumer and Regulatory Affairs Phase 1 plans are not finished. As shown in figure 4, Phase 2 contingency planning is not expected to be done until close to the century change on January 2000.

Figure 4: Phase 2 Contingency Planning Schedule as of September 3



District contingency planning officials did not have current data on whether Phase 2 planning milestones were being met. They told us that they are working with the heads of the top 18 agencies, the Interim City Administrator, Chief Financial Officer, Chief Technology Officer, and the Chief Procurement Officer to assess the exact status and costs of ongoing continuity and contingency planning efforts and to determine priorities. Contingency planning officials advised us that the status of this effort would be monitored in accordance with the 5 key planning activities described in the District's Phase 2 planning methodology:

- assessing Phase 1 contingency plans for feasibility,
- ensuring that Phase 1 plans are executable,
- training staff to execute the contingency plans,
- testing the contingency plans, and
- testing plans for returning to normal operations.

Steps the District Must Take to Mitigate Risks In the Remaining Months

At this point in time, the District can do little to increase the rate of progress on system remediation and testing. However, the District can improve its chances for success by better using the tools it has at hand. By more aggressively monitoring the status of key projects and ensuring that its status information is accurate, District management can be better-equipped to focus attention on projects running late and redirect resources, if necessary, to ensure that the most critical processes are remediated and tested on time.

Also, viable business continuity plans are important to all organizations—even those who have already completed remediation and testing. They are especially critical to the District because of the real possibility that remediation and testing may not be complete by year's end.

Mr. Chairman, this concludes my testimony on the District's Y2K status. However, I would like to briefly discuss the District's opportunities for using its efforts over the past year as a springboard for improving city services in the future. While the immediate

focus for the District over the next 98 days should be on assessing potential risks and business impacts and on prioritizing its remaining efforts, in the long term, the District, like many other organizations confronting the Y2K problem, has a unique opportunity to build on the experience it has gained in putting together its Y2K effort.

The simple reason that the District is so far behind in addressing the Y2K problem is that it did not have effective management over its information technology assets and projects. The District had no management process in place that provided adequate attention to the pending Y2K problem. As a result, it started very late and will finish late. Further, the project team was hampered by a lack of a comprehensive system inventory and limited documentation on key business processes and the systems that supported those processes. Our past reviews of key District systems have also identified problems in establishing clear project requirements, risk management, security, and software acquisition.<sup>7</sup>

By capitalizing on recent Y2K-related experience, the District can implement management processes and controls needed to ensure that its technology assets are effectively supporting city operations. For example:

- The District has learned that Y2K efforts cannot succeed without the involvement of top-level managers at the agency level and citywide level. Best practices have shown

<sup>7</sup> District of Columbia: Weaknesses in Personnel Records and Public Schools' Management Information and Controls (GAO/T-AIMD-95-170, June 14, 1995) and District of Columbia: Software Acquisition Processes for a New Financial Management System (GAO/AIMD-98-88, April 30, 1998).

that top executives need to be similarly engaged in periodic assessments of major information technology investments to prioritize projects and make sound funding decisions.<sup>8</sup> Such involvement is also critical to breaking down cultural and organizational impediments.

- The District has recognized that having complete and accurate information on information systems can facilitate remediation, testing, and validation efforts. Maintaining reliable, up-to-date system information, including a system inventory, is also fundamental to well-managed information technology programs since it can provide senior managers with timely and accurate information on system costs, schedule, and performance.
- The District has developed a better understanding of its core business processes and made some progress in prioritizing its mission-critical systems based on their impact on these processes and the relative importance of the processes themselves. Once the Y2K program is completed, the District can build on these efforts to ensure that information technology initiatives will optimize business processes as well as to identify and retire duplicative or unproductive systems.
- Like many organizations, the District found that special measures were needed to build the technical expertise required to assist with all phases of the Y2K correction process. The same solutions should be pursued for the long term to enhance overall information technology management.

<sup>8</sup> Executive Guide: Improving Mission Performance Through Strategic Information Management and Technology (GAO/AIMD-94-115, May 1994) and Assessing Risks and Returns: A Guide for Evaluating Federal Agencies' IT Investment Decision-making (GAO/AIMD-10.1.13, February 1997).

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Mr. Chairman, this concludes my statement. I will be happy to answer any questions you or Members of the Subcommittee may have.

**Contact and Acknowledgement**

For further information regarding this testimony, please contact Jack L. Brock, Jr. at (202) 512-6240 or by email at *brockj.aimd@gao.gov*.

(511157)

Mr. DAVIS. Thank you, Mr. Brock.

Mrs. Jarmon, thank you for being here.

Mrs. JARMON. Thank you. Mr. Chairman, and members of the subcommittee, I'm pleased to be here today to respond to your questions related to the financial management of the District's Y2K effort. As several of the witnesses have mentioned, the District is aware and has spoke to the fact that there have been financial management problems related to this effort.

You asked us to respond to some specific questions related to financial management and that's what my statement today will address. It will primarily cover three points: One, the funds provided in the District's reported expenditures to date; two, the District's ability to track its Y2K costs; and, three, the additional funding request requested by the District.

First in regard to funds provided and reported as expenditures. As shown in table 1 of my statement, on page 3, the District's draft financial reports for a period from June 1998 to September 15, 1999 show that almost \$100 million had been provided for Y2K efforts during that time.

These reports show that of this amount about \$42 million had been spent and \$54 million had been obligated, leaving remaining funds of almost \$2 million.

In regard to my second point, on the District's ability to track Y2K costs, District officials told us, and they've mentioned today, they have had significant problems in tracking Y2K costs and expenditures. They attribute this primarily due to significant turnover in key financial positions, and we were aware of that and we noted that also.

Over the past few weeks, the District officials had spent considerable resources in their efforts to better track their Y2K costs. During this time, however, which is during the time of our review, we received inconsistent and unreliable cost data from them, and these schedules continued to change.

It was apparent that the District did not have reliable financial data to manage the Y2K project costs and District officials are currently reviewing their costs and have found examples of invoices received and paid even though the District's financial management system had no corresponding purchase orders or contract-related information.

They found examples of invoices paid without adequate documentation to justify the amounts paid, and they found examples of contractor bills that were paid even though the time charges were inaccurate. And from what we've seen, the contractor bills have been adjusted for these inaccuracies that the District found.

These practices seem to go on because the District had no clear process for reviewing and verifying invoices submitted by contractors prior to making payments. And I'm specifically referring to the Y2K invoices.

These kinds of problems, however, with financial management in the District are not new and have been reported by GAO, the District's Office of Inspector General and the District's external auditors. In addition, we were told yesterday, and this was mentioned in the Post article this morning, that because of these financial management problems the District plans to hire a CPA firm to help

it track its Y2K costs, and also the District's Inspector General plans to begin audit work in this area sometime this fall.

Meanwhile the District's difficulties in tracking its Y2K costs make it impossible at this point to determine whether these funds were spent properly.

In regard to my third point on the additional requests fund, as shown in table 2 to my statement on page 7, the District has requested about \$91 million in additional funding from OMB to complete its Y2K efforts. They were informed late this week that \$22 million of this amount is available, and the remaining request is being reviewed by OMB.

In summary, the District cannot reliably track how the funds that had been received have been spent, nor say with any degree of certainty that the amounts have been spent properly. Given the urgency of the tasks of addressing the Y2K problem and the fact that the District is behind schedule, it is essential that the District have accountability for Y2K funds and to do careful planning, budgeting and tracking of expenditures. Without this kind of discipline over its efforts, it cannot assure the Congress that the additional funds requested will be spent as intended.

Mr. Chairman, this concludes my statement. I will be happy to answer questions from you or other members of the subcommittee.

[The prepared statement of Mrs. Jarmon follows:]



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United States General Accounting Office

GAO

Testimony

Before the Subcommittee on the District of Columbia,  
Committee on Government Reform, House of  
Representatives

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For Release on Delivery  
11:00 a.m.  
Friday,  
September 24, 1999

## YEAR 2000 COMPUTING CHALLENGE

### The District of Columbia Cannot Reliably Track Y2K Costs

Statement of Gloria L. Jarmon  
Director, Health, Education and Human Services Accounting and Financial  
Management Issues  
Accounting and Information Management Division



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GAO/T-AIMD-99-298

Mr. Chairman and Members of the Subcommittee:

I am pleased to be here today to update you on financial management issues related to the District's Year 2000 (Y2K) effort. In response to your questions, my statement today covers three points:

- The funds provided and the District's reported expenditures to date,
- The District's ability to track its Y2K costs, and
- The additional funding requested by the District.

As you know, the District of Columbia is acutely vulnerable to Y2K problems due to its widespread dependence on computer systems for delivering important public services. If these problems are not solved before the end of the year, the District may be unable to effectively carry out its core business operations that ensure public safety, collect revenue, educate students, and provide health care services. District officials are aware of the urgency of this task and have made several funding requests in order to have adequate resources to address it.

In June 1998, the District established the Y2K Program Management Office (PMO) and began preparing for Y2K readiness by initiating parallel efforts with this Office and other offices, including the Office of the Chief Technology Officer (OCTO), the principal programmatic agencies, and the Office of the Chief Financial Officer (OCFO). The PMO, OCTO, and the agencies are primarily responsible for implementing and reporting

Y2K readiness initiatives, while the OCFO is primarily responsible for tracking financial data in the District's financial management system.

To determine the District's financial management status relevant to its Y2K effort, we reviewed pertinent documents provided by the Office of the City Administrator (CA), OCFO, OCTO, and the Office of the Inspector General (OIG). We also interviewed the Interim City Administrator, CFO, CTO, and other officials from those offices and officials from the District's OIG and the District of Columbia Financial Responsibility and Management Assistance Authority.

We did not audit the District's Y2K reported funds provided or expenditures, and accordingly, we do not express an opinion or any other form of assurance on these reported amounts. Our work was done in accordance with generally accepted government auditing standards in September 1999.

#### **Funds Provided and Reported Expenditures**

As illustrated in table 1, the District's records indicated that \$97.8 million had been provided for Y2K efforts as of September 20, 1999.

**Table 1: Reported Funds Provided to the District for Its Y2K Project**

(Dollars in millions)

Date Funds Available	Source of Funds	Amount
June 1998 <sup>a</sup>	District funds	\$10.0
October 1998 <sup>b</sup>	District funds	6.0
October 1998 <sup>c</sup>	Federal appropriations	20.0
March 1999	Federal emergency funds: First supplemental request <sup>d</sup>	61.8
<b>Total</b>		<b>\$97.8</b>

<sup>a</sup> These funds represent part of the District's fiscal year 1998 budget.<sup>b</sup> These funds represent part of the District's fiscal year 1999 budget.<sup>c</sup> Public Law 105-277.<sup>d</sup> These are appropriated funds for emergency expenses related to Y2K conversion of federal information technology systems.

Draft financial reports provided by the District for the period June 1998 to September 15, 1999, indicated that of the \$97.8 million provided, \$42.4 million had been spent and \$53.8 million had been obligated, leaving available funds of \$1.6 million. These draft financial reports also showed disallowed costs of \$12.5 million. District officials told us that these disallowed costs resulted from recent reviews of amounts billed by contractors. According to District officials, support for the amounts provided in the draft financial reports was not readily available.

**Unreliable Y2K Cost Data**

District officials said that they have had significant problems in tracking Y2K costs and expenditures, which they attribute primarily to the frequent turnover in key financial positions. Over the past few weeks, District officials have spent considerable resources in their efforts to better track these costs and to determine the remaining unfunded needs by agency. During this time, we received inconsistent and unreliable cost data from several District officials and the cost schedules continued to change. It was apparent that the District did not have reliable financial data to manage the Y2K project costs.

Specifically, the District was not tracking the Y2K amounts obligated and spent and could not provide reliable, supportable data to us related to these amounts. For example, District officials stated that (1) invoices were received and paid even though the District's financial management system had no corresponding purchase orders or contract-related information, (2) some invoices were paid without adequate supporting documentation to justify the amounts paid, and (3) some contractor bills were paid and later had to be adjusted by the contractor due to inaccurate time charges. This was partially due to the District having no clear process for reviewing and verifying that invoices submitted by contractors were valid and should be paid prior to making payments.

The District's inability to monitor its spending is not a new issue. GAO and others have reported on the District's weak financial management processes and inability to account

for its use of funds. For example, our prior work on financial management in the District, including several audits of the District's Highway Trust Fund's financial statements, have highlighted financial management problems similar to those the District now faces with Y2K implementation. In our audits of the District's Highway Trust Fund's financial statements for the periods ended September 30, 1996<sup>1</sup> and 1997,<sup>2</sup> we reported that the District had material financial management weaknesses in accounting for revenue and certain expenses.

In addition, in the District's fiscal year 1998 financial statements audit report,<sup>3</sup> the District's independent auditors reported the following material financial management weaknesses:

- Lack of timely obligation of budget authority by the Office of the Chief Financial Officer,
- Improper authorization of expenditures or obligations exceeding available funds,
- Improper use of obligated or expended amounts,
- Noncompliance with laws and regulations regarding procurement of goods and services, and

<sup>1</sup> Financial Audit: District of Columbia Highway Trust Fund's 1996 Financial Statements (GAO/AIMD-98-30, December 15, 1997).

<sup>2</sup> Financial Audit: District of Columbia Highway Trust Fund's Fiscal Year 1997 Financial Statements (GAO/AIMD-98-254, September 30, 1998).

<sup>3</sup> District of Columbia Government: Report on Internal Controls and Compliance with Laws and Regulations and Management Letter for the Fiscal Year Ended September 30, 1998 (January 29, 1999).

- Lack of timely reporting of transactions in the financial management system and failure to reconcile transactions until the year-end closing process.

In a recent report,<sup>4</sup> the District's Inspector General stated that because of its concerns about the propriety of Y2K funding for goods and services, it plans to initiate audit work in the areas of procurement, financial management, and contract administration functions relative to this initiative. The objectives of its upcoming audit will focus on whether the OCTO has controls in place to ensure the reasonableness of expenditures and to properly account for and monitor Y2K funding amounts and to comply with applicable regulations, policies, and procedures. District OIG officials said that this work will begin in the fall of 1999.

The District's difficulties in tracking its Y2K costs make it impossible to currently determine whether its Y2K funds were spent properly. This situation also makes it difficult for the District to reasonably determine additional funds needed to meet its future Y2K challenges. Further, without reliable cost information, the Congress lacks important information needed to properly evaluate the District's potential future funding needs to address remaining Y2K work.

#### **Additional Funding Requested**

As indicated in table 2, the District has requested \$90.7 million in additional funding from the Office of Management and Budget (OMB) to complete its current Y2K efforts.

<sup>4</sup>Management Implication Report to the Mayor of the District of Columbia, August 12, 1999, Government of the District of Columbia Office of the Inspector General.

District officials stated that these additional funds would be used primarily for Y2K remediation, testing, contingency planning, and additional resource requirements at the various District agencies.

**Table 2: Additional Emergency Supplemental Funding Requests by the District**

(Dollars in millions)

Activities	Federal Emergency Funds: Second Supplemental Request <sup>a</sup>	Federal Emergency Funds: Third Supplemental Request <sup>b</sup>	Total
Remediation	\$1.2	\$12.3	\$13.5
Testing	0.3	0.0	0.3
Non-IT <sup>c</sup>	2.6	5.5	8.1
Desktop computing	4.6	3.2	7.8
Contingency planning	0.3	2.1	2.4
Other <sup>d</sup>	13.3	45.3	58.6
<b>Total</b>	<b>\$22.3</b>	<b>\$68.4</b>	<b>\$90.7</b>

<sup>a</sup> This request was submitted to OMB in July 1999, and approved in August. According to a District official, OMB notified the District on September 22, 1999, that the funds were available.

<sup>b</sup> This request was submitted to OMB in August 1999. OMB is currently reviewing the request.

<sup>c</sup> This term refers to equipment and infrastructure devices with embedded processors such as elevators and medical equipment.

<sup>d</sup> The term "Other" refers to the emergency dispatch systems, city-wide initiatives, and additional agency resource requirements.

As of September 20, 1999, District officials could not tell us what additional funds, beyond these requests, might be needed to complete Y2K conversion compliance and



contingency planning efforts. Until the District can better track its costs and improve the reliability of its financial data, it cannot assure the Congress that the additional funds requested will be spent as intended. Given the urgency of the task of addressing the Y2K problem, and the fact that the District is behind schedule, it is essential that the District have accountability for the funds provided and do careful planning, budgeting, and tracking of expenditures. Without this kind of discipline over its efforts, the District cannot offer assurance that funds intended for Y2K efforts have been properly or effectively spent.

Mr. Chairman, this concludes my statement. I will be happy to answer any questions that you or Members of the Subcommittee may have.

**Contact and Acknowledgement**

For further information regarding this testimony, please contact Gloria L. Jarmon at (202) 512-4476, or by e-mail at [jarmong.aimd@gao.gov](mailto:jarmong.aimd@gao.gov).

Mr. DAVIS. Thank you very much. I'm going to start the questioning with the gentleman from California. I just make one comment. I'm looking at the District of Columbia mission critical business process, Y2K contingency planning, in terms of where everything is, where the plans develop, where it's tested, where it's implemented, and the one that is all green is—fortunately, you have the eligibility benefits, and those issues which are important to D.C. residents. But you also have the revenue generated, because I noticed the lottery appears to be Y2K compliant as well.

And I'll bet you, I can't find it, but I'll bet you that the parking tickets are probably Y2K compliant. That has always worked in the city even when everything else may be off.

But the gentleman from California, who, I might add, has just been a national leader on the Y2K, will start the questioning for 5 minutes, and then to Ms. NORTON.

Mr. HORN. As I recall, at the last Y2K hearing in February we were assured that the executive steering committee of the District, which had some of the city's top officials, was central to resolving the problems involved.

And I guess I'm asking, I'm told that the committee has not met since December 1998 to June 1999. Can somebody explain that to me?

Ms. NEWMAN. I can start by saying that at the beginning of this Mayor's administration, the decision was to honor his way of managing these kinds of projects. This did not mean that the people who were officially involved and listed on the committee were not involved.

We have weekly meetings with the Mayor and his staff. I must say that every week the issue of Y2K compliance comes up in some form or another. There have been the meetings that the Mayor has that I'm sure he will speak about, where there are representatives from the Council and the Authority who meet on a regular basis. So the fact that that formal group has not met should not concern you, because the people who were——

Mr. HORN. Thank you.

Mr. Brock, I think you said that there was a lack of management focus here. Is that part of it or are there other things?

Mr. BROCK. When we started this second or third review, Mr. Horn, we did look for evidence of whether the steering committee had met; it had not met. We knew that activities were taking place. For example, I go to the DOD steering committee every month. We also go to the IRS steering committee, et cetera. These are very useful in terms of bringing issues to the table and having all the parties there and resolving them on the spot.

The initial meetings where we reviewed the minutes of those meetings seem to be more oriented toward status checking as opposed to using that as an opportunity to refocus priorities. Since that time, there has now been an increased focus on using forums like that to reach decisions and redirect resources.

Mr. HORN. Mrs. Peck, let me direct this to you. As I understand, the contract with IBM, the prime Y2K contractor, lapsed and many of the contract consultants were removed and weeks of work were either interrupted or lost. How come?

Mrs. PECK. I think, Mr. Horn, you're probably referring to a slight pause between phase 1 and phase 2 of the contingency planning. There was a very, very substantial group of IBM consultants helping the agencies on phase 1 of the plan. The long-term strategy for phase 2 of the plan was that the actual implementation of those written plans would be done principally in the agencies. And so there was a planned withdrawal of a substantial number of the consultants who had worked on phase 1. Our discovery was that——

Mr. HORN. Excuse me. Are those consultants the ones who would be remediating the various codes and tapes?

Mrs. PECK. The consultants have various functions. Some were code remediators. All of these that I'm speaking of were contingency plan writers, helping the agencies write the contingency plans.

Mr. HORN. Have you had a difficulty in getting people to remediate the codes? Are we out of shortage of supply here?

Mrs. PECK. No.

Mr. HORN. OK. So you're OK on that because I would suggest if you aren't, and a lot of them are in COBOL; is that not correct?

Mrs. PECK. That's correct.

Mr. HORN. I would ask for the Office of Personnel Management to run a tab on it and get those that are still retired and not back in, and they've been very supportive in terms of you can keep your pension, you can get your wonderful contract. And it seems to me, if you're short there, that you ought to call on them.

Let me ask you this, because I've got to move with the 5-minute rule that I'm a strong believer in. To date only 130 or 58 percent by our math, of these systems that are year 2000 ready, how confident are you that you can fix, test, put the remaining systems into production by November? Do you feel, Mrs. Peck, you can do that?

Mrs. PECK. My arithmetic on the same figures is a little different, because the 130—I count if they are remediated and they are in testing, because the remediation is a very substantive part. Of the mission critical systems, 90 percent of those on the same numbers that you're counting, you're counting 130 over 223, I count 200 over 223, because I count all of those that have been remediated and are now in testing. I am confident. We just yesterday had a very substantial——

Mr. HORN. I will take that answer. Let me, with one question to go here, the District's unemployment benefit program, have we looked at that? Because that's one of those things that a lot of people would be hurt if they don't get their check on time. How are we on that one?

Mrs. PECK. Both the employment benefits and the employment tax system come out of our Department of Employment Services. Both of those systems are on schedule. The legacy employment benefits contingency remediation is complete and waiting on the shelf, in case our new employment benefit system, which is planned for production October 18th, is not ready. But in point of fact we expect our legacy remediated system never to come off the shelf because we expect the new system to be there. In terms of the unemployment tax system, it will be in production on October 4th.

Mr. HORN. I thank you all, and my colleagues can ask the rest of the questions.

Mr. DAVIS. I thank the gentleman.

I now recognize the gentlelady from the District of Columbia, Ms. NORTON.

Ms. NORTON. In terms of the difficulties that the city has had in the financial management of the Y2K process, I recall that with some difficulty we got a financial management system authorization out of the Congress a couple of years ago. And so you are, I take it, doing Y2K compliance at the same time you're instituting a new financial management system.

I would like to know whether or not that has had anything—how that system has worked with this process and whether that has had anything to do with any of the problems encountered?

Mrs. PECK. Actually, one of the advantages that we have had on this project is the fact that our new financial management system, SOAR, is Y2K compliant. That is a very substantive system for the city and the fact that it was compliant was an advantage to us.

Ms. NORTON. At the same time there have been indications that there have been glitches in instituting the financial management system in agencies around the city. That's what I'm referring to. I recognize that was compliant.

How does that fit with tracking Y2K, the Y2K expenditures?

Mayor WILLIAMS. If I could speak to that. I think that, you know, Congresswoman Norton, any kind of system in my mind is not just hardware and software, it's people, it's operations, it's process. Certainly instituting the new financial management system, for example, a new financial management system requires our agencies to do double entry bookkeeping, which the old system, even though it was the old accounting system, didn't do. So we were trained in a whole new world of accounting. Enormous amount of training has gone into instituting this system.

It's very, very important that for this system to work and for any system of financial control and reporting to work that there be in the chair of Council operations—Kathy Patterson talked to this—that it is important that program and financial management be—have a unity of purpose and work together.

And one of the reasons why I strongly believe we want to bring this financial team in here is that someone everyone can respect, everyone can appreciate, they can go out and get this work done, and we don't have the finger pointing that none of us want to see and none of us want.

Ms. NORTON. Thank you.

Ms. Patterson, I must say, I was concerned that only in March did the process that the Congress insisted be put in place whereby contracts of \$1 million and over had to go to the Council, only in March was that—that the Council took an effort to make sure that that process was not a part of the problem. And in July, of course, another action was taken to make sure that over the summer that process was not part of the problem.

I just want to say that the Congress never put that process in place because it believed that the Council should have jurisdiction over contracts of \$1 million or more. There is no executive in the United States which has to go to its council. It put it in place be-

cause there was no Financial Control Board at the time or it was just starting up, because the Congress had no way to check on what seemed to be out-of-control contracting.

I, myself, must say I have not been very pleased with it, not because the Congress—the Council hasn't taken action when it had to, I was astounded in what we had to go through, and the Council did take action on highways—and highways is something that should never have had to go in the first place because of the way that procurement takes place.

In any case, I believe that early on in the process that the Council was part of the problem that should have been waived instantly, some other way found if you needed a check. And I need to know whether or not there is a process that is automatically in place so that this million dollars and over process, which was put in as an emergency, which I think should be repealed at the end of the Control Board, whether or not, in fact, we have in place things that can move more quickly to get that process out of the way when it's part of the problem.

Ms. PATTERSON. Ms. Norton, as you know, the requirement that the Council review contracts over a million or multiyear is in the charter, so there's no legislation that we can do; that is something that the Congress needs to act on.

Ms. NORTON. I'm not asking about that. I'm saying you have done things. You did something in March, and you did something in July. I'm talking about precisely that kind of streamlining when you have an emergency, and that's what Y2K was, and it seems to me that there was—that March was too late to be deciding that we're going to streamline a process. Nothing in the charter kept that from happening.

Ms. PATTERSON. In terms of the streamlining effort, one of the things that we talked about in the hearing that my committee held on Wednesday with Mrs. Peck was just as we were using the Y2K challenge to improve our IT systems broadly, this streamlined procurement for Y2K can be a model for where we go for the entire city, and that's something we will be looking at over time.

Ms. NORTON. That is something I would urge upon you. And I appreciate that you are looking at that.

Could I ask a question about coordination with the region? I know the way we're joined at the hip with the Federal Government, and that's part of the reason that we got Federal funds. When it comes to regional systems like Metro and water and sewer, I'm sure they have their own systems. I need to know whether or not in any other way they are tied into the District, however, so that we need it or should be doing any coordination with the region?

Mrs. PECK. We are doing two levels of coordination, Ms. Norton. We are doing one level of coordination through the Council of Governments, and we on September 1st had quite a large regional Y2K exercise with seven local regional entities and all of the District agencies that was quite successful and gave us a good leg up on actual scenarios that might happen at the date change.

We are also within the District doing a great deal of work on interagency panels at a second level above individual units and at a third level, in the Emergency Management Agency, the District's

entire plan across all agencies comes together and from that plan we link to the FEMA and to the Presidential levels if crisis management is necessary.

Ms. NORTON. Thank you.

Thank you, Mr. Chairman, my red light is up.

Mr. DAVIS. Thank you. You will have another round. Let me just ask a question if I can, and I think, Mrs. Peck, I will address it first to you, and then I will allow the GAO to respond.

Was there, in fact, a lapse in a contract with IBM due to a lack of authorization or availability of funding that caused the unplanned reduction of contract consultant resources?

Mrs. PECK. I would describe it as a pause as we understood that we needed more resources in a successor phase of a project than we had originally planned.

Mr. DAVIS. Let me ask you, Mr. Brock, what really happened here that we can't account for all of the billings and the hours? I mean what went wrong here? Can we get any idea?

Mr. BROCK. Well, Mr. Davis, we don't have any specific information on that lapse. We heard about it. One of the advantages of a strong financial management system, however, it allows you to have the checks and balances in there so that in fact you can, one, track that as it goes on and, second, go back and retroactively do any sort of analysis that you might want to do to look at the issues such as this.

Mr. DAVIS. It could in fact just be bookkeeping at this point in filling in the blanks and that nothing is amiss?

Mr. BROCK. That's possible. But without further work, I would be hesitant to say that.

Mr. DAVIS. There hasn't been any allegations of any deliberate wrongdoing or anything like that at this point, it's just—

Mr. BROCK. We heard none during the course of our audit.

Mr. DAVIS. How much has been spent from June 1998 to now on the District's Y2K effort, and do you know how much Federal and how much local and how much more money you think will be needed to get this—it probably will go past January 1, 2000?

Mrs. JARMON. The draft reports that we received from the District on Monday show that during that period of time from June 1998 to September 15, 1999, that they had spent about \$42 million and that they had obligated \$54 million, and they weren't able to tell us whether they thought more was going to be needed, in addition to the supplemental requests that I mentioned in my statement. There was a supplemental request of about \$6 to \$8 million that is being reviewed by OMB, and \$22 million was received as of this week.

Mr. DAVIS. I would just say on a supplemental request like that, it would be wise to send it up here as well as OMB because Congress appropriates it. It is good to work through all that. But I think Mr. Istook and Senator Hutchinson would like to be in that loop as early as possible and not get hit, particularly in light of the budget negotiations and everything.

Mrs. PECK, let me ask you, do you agree with those numbers at this point and do you foresee about a \$6 to \$8 million range for additional money to get this thing done on Y2K? Do you know that?

Mrs. PECK. I know that we have—

Mr. DAVIS. \$6 to \$8 million, OK.

Mrs. PECK. I know that we have a total of \$97.8 million now in total funding with an additional \$22 million in research receipt.

Mr. DAVIS. An additional \$22 million in what.

Mrs. PECK. That we just recently received.

Mr. DAVIS. Received. OK. And do you foresee more money being needed to finish this?

Mrs. PECK. Yes.

Mr. DAVIS. How much more?

Mrs. PECK. We have an additional funding request before OMB, who gets cranky if we say the number before they've done their analysis.

Mr. DAVIS. What did you ask for? I'm not asking what they said.

Mrs. PECK. We asked for \$68 million additionally.

Mr. DAVIS. That was in the testimony. I want to make sure we're singing off the same sheet. You won't have everything done on January 1. You're on a tight timeline right now. And you feel the critical structures, you feel reasonably we will be in pretty good shape?

Mrs. PECK. I'm very confident that the mission critical services will be delivered.

Mr. DAVIS. Some of the other items, you know, you want to get them in as good shape as you can, but you don't have the same level of confidence obviously, because you had to prioritize; is that correct?

Mrs. PECK. I'm confident in those mission critical services.

Mr. DAVIS. Right. But some of the other services they are probably not going—some of them may not be ready, is that a fair statement?

Mrs. PECK. There's surely going to be a handful that gets out from under the rug, and that's why we've done all of the extensive contingency planning that we have done.

Mr. DAVIS. It's not your fault. We knew you had a tight timeline to get this done from day one and not a lot of room for error, and this is pretty complex stuff and very time intensive and everything else.

Do you have an explanation for what might have—where the money that can't be accounted for in the IBM contract, and why it's not accounted for and what we might do differently?

Mrs. PECK. We have gone over with the CFO extensively those spends, and we find the IBM accounting to be accurate. They now, when they submit their invoices, submit not only monthly invoices, but submit inception to date statistics so that we can see every one of their consultants for every month for every hour, for every agency that they've worked at. So I think we're closing in on the problem of having that information.

Mr. DAVIS. Do you have a good enough staff, competent enough staff, understanding the complexities of this issue, to sit over IBM and know if they're doing the right thing or not?

Mrs. PECK. Absolutely.

Mr. DAVIS. Let me just ask this. If you could rate it, how effective does GAO believe the District has been in managing the funds it's received?

Mrs. JARMON. To date, based on what we've seen, and we've primarily been looking at this over the last 2 or 3 weeks when we re-

ceived the questions, there have been a lot of problems, and the management of the funds, you have to take into account the emergency nature of this, have not been effective during that time based on what we're looking at. We are encouraged by the recent efforts and the plan to bring in additional expertise, but it hasn't.

Mr. DAVIS. Thank you, my time is up. I'm going to yield to Mrs. Morella. I will just say as often happens in emergencies we find with FEMA and other groups, when you try and get the money through and the contracts through sometimes the formalities of accounting for it takes second place to getting the mission done. And I'm encouraged by the city's attitude here that we want to sit and make it right instead of just being defensive. This is tough.

At the end of the day, we will want to solve this problem, and we want to solve it in a timely manner, that's No. 1. There's other stuff, I think we try and work as we can.

Mrs. Morella, I'm going to recognize you, and then back to Ms. Norton.

Mrs. MORELLA. Yes, thank you, Mr. Chairman, I appreciate it.

I appreciate all you coming here to discuss this very, very important issue, and I think the eyes of the Nation are on the District of Columbia.

Mr. Brock, as usual it's good to see you and to know that we have with Mrs. Jarmon, we have GAO doing a lot of the monitoring, and I would agree with what you said in your testimony that the plan shows that four projects won't be tested until November, and another seven in December. And as you said in your oral testimony, all of this is pretty risky.

So I guess I would ask you, in addition to thanking you for your candid assessment of the situation of the readiness, which of the District's critical services could be jeopardized due to potential year 2000 failures?

Mr. BROCK. I think that any of the critical structures could be in jeopardy because of the interrelationship among the various services, which is one of the reasons the contingency planning, the business continuity planning and the exercises they're planning are so critical, that until you do these types of exercises sometimes you don't recognize the interrelationships that something occurring in one department actually has a ripple effect in another department.

That's why fixing a system alone is not enough. Until you do the, what we would call the end-to-end testing and test those systems within a process, and then test the contingency plans and the business continuity plans to see that they will work, I would consider the systems at risk.

Mayor WILLIAMS. Could I augment that or chime in there?

Mrs. MORELLA. Certainly, Mr. Mayor.

Mayor WILLIAMS. I think we want to be conservative, because I think you managed to hear the problem, and we've got some problems and challenges that we recognize. But I think that, you know, from the beginning of the year, we met with all of the agencies in the cabinet once a week, you know, and queried them on a number of top priorities, and in my world, everything is a top priority, and you distinguish between the top priorities that are blowing up and the top priorities that are just a simple top priority.



So there's no—there is no excuse. I'm not going to sit here and say there's an excuse for not having convened the steering committee earlier. In hindsight I should have done that, but the fact is you're just managing a number of emergencies all the time, and I thought that the cabinet was the right way to bring everything to the table on a regular basis.

Second, we got information flow in terms of financial management, in terms of program management. We managed that information. The information we were getting is that the project was challenging, but that it was on track. As we got additional information that we needed to make some judgments, we went out in the field and did those adjustments, and we will continue to make those adjustments.

Third, I want to assure everyone on the committee and everyone in our city that this city is going to be ready, either because mission critical systems are going to work, which I think by and large they will, I have confidence that they will.

But even if they don't and to the extent other nonmission critical systems don't, that this stage 1 and 2 contingency planning that we're working very, very aggressively is automatically going to happen, and I say that because I brought in Peter LaPorte, who was a former emergency management director in the State of Massachusetts, who worked with Chief Braden in New York. He has got extensive emergency management public safety experience. He is working on the scene with us on this matter.

We also have Robert Fletcher from FEMA, who we have gotten from Federal Emergency Management, who is working with us on our contingency planning. We're working very aggressively on this. I think we have some top flight people on the problem. So I'm not disputing GAO that there is major challenges. But I just want to give everyone a notion of assurance that, as John Koskinen says, that we're managing to the problem because I believe we are.

Mrs. MORELLA. I think we have to do that and I would agree, as I have said before, I think that we shouldn't assume the Chicken Little stance that the sky is falling, nor the Pollyanna stance that there's nothing to worry about. But I think it also links up to the coordination.

And I guess, Mrs. Peck, are you having difficulty coordinating with the private vendors, your subcontractors? What are you doing about that coordination?

Mrs. PECK. We really are not having difficulties in that area. Every day is a challenge. Every day we need to get that day's work fully done to go on to the next, and every day there are difficulties, but there are not extensive coordination difficulties. Our contractors have really been powerful in the support of the District in this project.

Mrs. MORELLA. Which then leads to end-to-end testing. Have you done some end-to-end testing then to make sure that you are able to connect with the entities that you're dependent upon, which includes subcontractors, which includes business entities?

Mrs. PECK. We really—I'm sorry, I thought you meant our Y2K contractors who have been extraordinarily supportive. Independent supply line providers have their own independent Y2K plans, while we have done the very—the very substantive cog effort, we are de-

pending on the assertions of those third-party suppliers to a great extent that the compliance they assert is the compliance they actually have.

For our non-IT assets, we have done, however, even with the assertions of third-party suppliers, we have done a very substantial amount of testing ourselves of all of the embedded chip gear that the District has that's mission critical.

Mrs. MORELLA. Does the chief technology officer report directly to the Mayor?

Mayor WILLIAMS. All of our agency heads meet with me weekly. All of my agency heads have access to me whenever they want that access. And I've told Susan personally she can talk to me any time she needs to on whatever basis she needs to, although in our city charter, our agencies report to the Mayor through the city administrator.

Mrs. MORELLA. I want to give you an opportunity to respond. But I want to thank you also, Mrs. Jarmon, for your concept and the question about where this money is going and all of you as we count down, we wish you well, we will be watching.

Mr. DAVIS. Thank you very much.

Ms. NORTON.

Ms. NORTON. Mr. Chairman, in order to allow those who have the vote to be able to vote, I will be brief and confine myself to two questions.

I think the public would like—we are using language that we necessarily have to use by contingency planning. I think the public might find it useful to have real world examples of contingency plans for mission critical systems, you know, suppose 911 goes out. You pick them. Give us some examples that make us—that would give us some confidence that we're going to be OK.

Mrs. PECK. I think 911 is a wonderful example. In the case where—and the District is also in the situation where historically, because of the lack of investment in technology, we probably operated according to contingency plans more than we would have liked. When the automatic 911 dispatch system goes out, is not working, the function that that system does is really to present the call dispatchers with the address of the party who is—who is calling, to locate that caller.

When that cannot be done systematically, it is done with substantial computer printouts of every address in the District and the operational difference in 911 between having an automated system and a manual system is that the dispatch is approximately 30 to 60 seconds longer on the manual dispatch than it is on the systems dispatch.

I was just handed, and if I may, Ms. Norton, I would like to alert District residents that this Sunday in their Washington Post supplement will be a Washington, DC, home guide to emergency preparedness. It is for the District's residents, not only a guide for Y2K preparatory activities, but it is also a general emergency preparation guide that they can use in any emergency, and that will be in their Washington Post supplement this Sunday.

Ms. NORTON. It will tell me if I call D.C. General and I can't get through, it will tell me what you all have in place, for example—and what do you have in place, because D.C. General was supposed

to be one of those mission critical agencies that was not fully ready?

Mrs. PECK. Our expectation is that the D.C. General patient care system, which we are now remediating, will indeed be ready. But, again, D.C. General has full patient care contingency plans in the alternative.

I might also mention that residents can, beginning on October 1st, dial the Mayor's central citizen information number, 727-1000, and that number will have all the information, Y2K information, that citizens need and will be able to respond to any Y2K questions that they have.

Mayor WILLIAMS. I want to echo on that, Congresswoman Norton. We've also through our chiefs suspended our leave. We've also sent out a Mayor's order that essentially largely suspends any leave for many of our mission critical nonpublic safety personnel. We're going to have fully staffed, not only with District personnel, but with our Federal partners with connection to the regional command center that it will be up and operating days before the actual moment of truth, January 1st.

Ms. NORTON. Finally, we've been talking about mission critical systems. Has anything been done with nonmission critical systems? Are we going to have a collapse of those systems because we've put so much attention on mission critical systems?

Mrs. PECK. This is why when Mr. Davis asked me the question, I was so assertive that we would be ready. We speak just to emphasize the priority of the 18—of the mission critical systems at the 18 mission critical agencies, but to Mr. Horn—in responding to Mr. Horn's question, my response was to every system of the District, to all 370 systems of the District, and while those are—many of those are priority 2 and priority 3 systems, the remediation, the testing and the return to production is of all of the systems and our report is on all of the systems, not just the mission critical.

Ms. NORTON. Thank you. That's important to know that even with the priorities, you think all the systems are receiving the same attention.

Thank you, Mr. Chairman.

Mr. DAVIS. Thank you very much.

Just a couple of questions before we wrap up. The District discontinued its New Year's Eve event at the Old Post Office due at least in part to crowd management issues. How will the new millennium celebration be implemented? Can Congress be ensured that crowd management will be sufficient? Have we looked at this? And will this event interfere with routine or emergency city services, and is it being taken into account in the Y2K planning?

If you would like we can give you time to answer that in writing if you want to do it.

Mayor WILLIAMS. If I can, the short answer, Mr. Chairman, is that we've been working closely with the Federal authorities as we did, for example, with NATO, it was very, very successful working with them on the millennium. And I don't see that there will be any impact on our government services, but we can get you a detailed answer in writing.

[The information referred to follows:]

*The District of Columbia*

**MILLENNIUM**

**CELEBRATION**

# *Executive Summary*

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*DECEMBER 31, 1999 -*

*JANUARY 1, 2000*

# ***O**VERVIEW*

## OVERVIEW

### AUTHORITY AND PURPOSE

The District administration made a commitment to hosting its own food and music festival, *Main Street Millennium*, in conjunction with the White House's *America's Millennium* and the Smithsonian Institution's *America's Millennium on the Mall*, celebrating the arrival of the year 2000. During the summer of 1999, Mayor Anthony Williams formed a group to plan the festival for the purposes of both celebrating the millennium and launching the year-long events celebrating Washington's 200<sup>th</sup> anniversary as the nation's capital.

The purpose of this document is to summarize the planning efforts for the *Main Street Millennium* Celebration and to provide an overview of the events that will be occurring from December 28, 1999 to January 2, 2000. Because of the significant impact that activities sponsored by the White House, Smithsonian Institution, and other entities will have upon the District's celebration, infrastructure, and law enforcement and emergency personnel, these events and the support services the District will provide to them are also included in the plan.

### KEY COMPONENTS OF THE CELEBRATION

Many events are occurring throughout the District of Columbia to mark the arrival of the new millennium. The highlights of events in Washington include the following: the millennium celebrations *Opening Ceremony* by the First Lady on the 31<sup>st</sup>; the three-day *America's Millennium on the Mall* events at the Hirshhorn Museum, the National Museum of American History, the National Museum of Natural History, and the National Air and Space Museum; the two-day *Main Street Millennium* events on Constitution Avenue; the four-day *Millennium Around the World* show at the International Trade Center/Reagan Building; the gala program at the Lincoln Memorial on the evening of the 31<sup>st</sup>; and midnight and one AM fireworks displays. It is estimated that between 200,000 and 250,000 people will attend these events over a two-day period.

### PLAN STRUCTURE

The Plan has five sections: the Overview gives general information on the event and Plan; Participating Organizations lists key federal, District, and other organizations that are supporting the millennium celebrations and briefly describes the role of each; Events describes the major and satellite events occurring over the New Year's weekend; and Celebration describes what will be occurring during the three-day celebration and includes a program overview and location maps. The detailed operating plans have been developed by federal and District agencies for use before and during the millennium celebrations.

## PARTICIPATING ORGANIZATIONS

The following organizations are key participants in *Main Street Millennium* celebration. That is, they are providing support and resources for and/or sponsoring or underwriting celebration activities.

### DISTRICT AGENCIES

The following District agencies are providing planning and support services for the various events associated with the *Main Street Millennium* celebration. Internal divisions, bureaus, and sections are not shown.

Executive Office of the Mayor  
 Child and family Services Agency  
 Department of Consumer and Regulatory Affairs  
 Department of Health  
 Department of Public Works  
 DC Emergency Management Agency  
 DC Fire and Emergency Medical Services Department  
 Metropolitan Police Department  
 Office of Communication  
 Water and Sewer Authority

### FEDERAL AGENCIES

The following federal agencies are providing planning and support services for the various events associated with the *Main Street Millennium* celebration. Internal divisions, bureaus, and sections are not shown.

Executive Office of the President	General Services Agency
National Council for the Traditional Arts	US Department of Education
US Department of Justice	US Department of Interior
US Department of Treasury	US Department of Veterans' Administration

### SPONSORS

Private donors and the District primarily underwrite the *Main Street Millennium* celebration. The following companies are providing financial support to the *Main Street Millennium*.

America Online, Inc	Anheuser Busch
At-A-Glance	Brown Forman Corporation (Korbel)
Chevy Chase Bank	Coca-Cola
DC Lottery and Charitable Games Board	District CableVision
Eastman Kodak Company	Washington Metropolitan Transit Authority
Washington Post	

**RADIO SPONSORS**

All of the following radio stations have broadcast public service announcements regarding the *Main Street Millennium* celebration.

WAMU	WTOP	WHUR	WDCU
WMMJ	WHFS	WKYS	WBIG
WPGC	WTEAM	WASH	WWDC
WMAL	WWRC	WIZW	WYCB
WOL	WDCA	WYTR	WPFW
WGAY	WWDC		

**EXHIBITORS**

The following organizations are providing exhibits within the tents and pavilions at the *Main Street Millennium*.

African American Civil War Memorial	America Online, Inc.
American University	The Anacostia Exhibit
The Black Patriots	District CableVision
DC Housing Finance Agency	DC Open for Business
Eastman Kodak Company	Greater DC Cares
Home Free USA	The Legacy Exhibit
The Morino Institute	National Geographic Society
NFTE	Save America's Treasures
Share our Strength	Southeastern University
Trinity University	The University of the District of Columbia
US Census Bureau	The Young Marines

**DISPLAYS**

The following displays are set up outside of the pavilions and tents at the *Main Street Millennium*.

Main Stage Entertainment Area	Metro Display (Antique Bus)
Millennium Tour	Performance Stage
Town Hall Traveling Wall	

**OTHER ORGANIZATIONS**

The following government and non-profit organizations are providing planning and support services for the various events associated with the *Main Street Millennium* celebration.

Arlington County Police Department	Children's National Medical Center
DC Hospital Association's Clearinghouse	DC Water and Sewer Authority



Hospital Network	
Howard University Hospital	Maryland State Police
National Park Service Foundation	Smithsonian
Virginia Department of Transportation	Virginia State Police
Washington Metropolitan Area Transit Authority	

## PREPARATIONS

### GENERAL

District, federal, and other agencies began detailed planning for the Y2K transition and the millennium celebration in the summer of 1999. The agencies involved have prepared numerous plans. Below are abstracts of these plans. The overall-operating plan for *Main Street Millennium* celebration is not available to the public because of the sensitive information contained in the detailed plans.

### PLANS

**Communications Plan:** The purpose of the communications plan is to set out how event personnel, emergency services personnel, and law enforcement will communicate with each other during the celebration events. The plan describes the types of communication devices, the frequencies, and the cross-channels that will be used by these individuals during the celebration.

**Emergency Medical Services Operations Plan:** The mission of the Emergency Medical Services Bureau is to provide emergency medical care and transportation to District citizens and visitors during the millennium celebrations. The plan sets out how units and staffing will be deployed during events.

**Emergency Operations Plan: Y2K Infrastructure Disruptions:** The purpose of the Emergency Operations Plan is to set out contingency plans in the event that various parts of the District's infrastructure become partly or fully disrupted as a result the Y2K transition.

**Fire Operations Plan:** The mission of the Fire Department is to protect the District citizens, visitors, and their property during the millennium celebrations from fire and hazardous materials. The plan outlines how the Fire Department will provide normal fire protection service, to the degree possible, as well as provide coverage at celebration events, including all fireworks displays.

**Health and Medical Services Operations Plan:** The purpose of this plan is to set out how the District Department of Health will insure appropriate first aid resources are available to the public during the celebration events. The plan details the location of first

aid stations and how applicable regulations will be enforced, as well as when personnel at the first aid stations will coordinate with Emergency Medical Services.

**Load In-Load Out Plan:** The purpose of this plan is to provide a detailed schedule for the who, how, when, and where all physical property to be used in the *Main Street Millennium* will be put in place and taken down. The plan covers the tents, stages, exhibits, vendors' booths, and all associated props.

**Media and Public Relations Plan:** The purpose of this plan is to set out when staff will contact the various media on celebration events and logistics related to celebration events and what information they will provide. The plan covers media contacts prior to and during and following the celebration. This plan is a key component in ensuring that visitors to the District during the millennium celebrations are aware of street closing and the problems raised for vehicular traffic, and urges visitors to "take the Metro."

**Police Operations Plan:** The mission of the Metropolitan Police Department (MPD) during the transition to the new millennium is to protect the public safety during a period when there will be numerous events in the District and the potential for infrastructure problems due to Y2K disruptions or terrorist acts. The plan outlines how the MPD will provide normal police service, to the degree possible, as well as effectively deal with other situations that may arise. The plan sets out all MPD coverage of special events, traffic closure and monitoring details, crowd control details, Metro Station support details, fireworks traffic posts, MCI center detail, and crime patrol and response.

**Program and Entertainment Plan:** The purpose of this plan is to provide the detailed information on all programs and entertainment that will occur at the Main Street on Mall celebration. The plan sets out the "who, when, and where" for all programs, acts, and other activities occurring during the celebration.

**Sponsorship Agreements:** A series of agreements between the District and all sponsors who will be participating in the *Main Street Millennium Celebration* were executed. These documents identify the commitment of resources among the affected parties.

**Transportation Plan:** The purpose of this plan is to identify all changes in the existing transportation system into, within, and around the District before, during, and following the celebration. The plan identifies temporary, intermittent, and extended street closings, as well as alternative routes for vehicular traffic.

## EVENTS

### OVERVIEW

This section summarizes key events occurring in the District of Columbia between December 31, 1999 and January 2, 2000. The public celebration of *Main Street Millennium* will begin with the opening by the First Lady. *Main Street Millennium* features food from DC's top chefs; five stages with DC's best jazz, blues, reggae, salsa, Irish, and many more diverse acts; District CableVision's Multimedia Pavilion; The Kodak Millennium PhotoQuilt; interactive exhibits showcasing Washington; and over 60,000 square feet of heated pavilions. All these events are in addition to America's Millennium Celebration, sponsored by the White House, which features a pre-gala and televised gala celebration at the Lincoln Memorial, followed by fireworks displays in several locations. Paralleling these public events, the District will be hosting numerous "by invitation" and ticketed events sponsored by public and private sector entities.

### SUMMARY OF EVENTS

In addition to the *Main Street Millennium* celebration there are numerous other public (free and ticketed) and private (by invitation and ticketed) events. The following pages present the millennium-related events and ceremonies.

*Opening Ceremony* – The First Lady, the Mayor of Washington, and others will preside over a ceremonial "opening" of *America's Millennium* and *Main Street Millennium* on 12<sup>th</sup> Street north of Constitution Avenue. Members of Congress and Department of Education will be included in the time capsule activities.

*America's Millennium on the Mall* – on the Smithsonian Institution will present a series of programs at the Hirshhorn Museum, the National Museum of American History, the National Museum of Natural History, and the National Air and Space Museum, December 31 through January 2.

*Main Street Millennium* – on Constitution Avenue between 9<sup>th</sup> and 14<sup>th</sup> Streets, December 31 through January 1. This is a family-oriented event with food, souvenirs, and entertainment in tents and a variety of displays throughout the area.

*Millennium Around the World* – exhibits at the International Trade Center/Reagan Building in conjunction with Washington-based embassies. This ticketed, daylong event begins at 6 AM on December 31<sup>st</sup> and runs until 7 PM. Throughout the day, the exhibit will bring live satellite coverage of celebrations in countries' around the world as the new millennium begins. The exhibits will be continuing January 1 through January 6, 2000.

*White House Creators' Dinner* – a formal dinner for approximately 400 VIP's from 7 to 10 PM. After dinner, the guests will be shuttled from the White House to a VIP seating area at the Lincoln Memorial. Shuttles will carry guests back to the White House following the fireworks finale.

*America's Millennium Gala* – at the Lincoln Memorial on December 31<sup>st</sup>. Entertainment will feature multiple acts, music, and fireworks. The main show will begin about 10 PM and run until 1 AM. Pre-gala events will begin around 8 PM to attract the public to this free event. The President will attend and address the nation just before the New Year. VIP's have reserved, ticketed seating near the stage and Memorial.

*Fireworks Displays* – display locations are the Washington Monument at 12:00 AM, December 31, and behind the Lincoln Memorial at 12:55 AM, January 1.

*Post-party at the White House (Proposed)* – After the gala at the Lincoln Memorial, VIP's from the earlier dinner will be shuttled back to the White House to celebrate with the President and First Lady, beginning between 1 – 1:30 AM on January 1. An additional group of 1000 guests have been invited to this party.

*Traditional Open House at the White House (Proposed)* – Heads of State, dignitaries, and Supreme Court Justices have been invited to the White House for a "traditional" open house during the day of January 1. The President and First Lady will welcome guests.

Other private ticketed satellite events in Washington D.C during this period are shown below.

*58<sup>th</sup> Annual Capital Area Auto Show* – DC Convention Center, 900 9<sup>th</sup> Street NW, show, December 26, 1999 – January 3, 2000; open daily from 10AM to 9 PM except December 31, 1999 and January 3, 2000 when the hours are 10 AM to 6 PM.

*A Christmas Carol* – Ford's Theatre National Historic Site, 511 10<sup>th</sup> Street NW, performances 7:30 – 9:30, December 31, 2:30 and 7:30 on January 1, 2:30 on January 2 (parking recommended at lower level of Grand Hyatt)

*National Millennium Celebration* – Grand Hyatt Hotel, 4<sup>th</sup> Street, Grand Ballroom (ticketed event), December 31, 1999, from 8:00 PM to 2:30 PM.

*New Year's Eve Celebration 1999* – Kennedy Center, performances scheduled for 6, 8, 8:30, and 9 PM December 31, followed by dancing in the grand foyer until 12:30, and fireworks viewing on Roof Terrace (tickets only) (parking in Center garage).

*Capital Countdown 2000*--MCI Center, 601 F Street, NW, December 31, 9 PM to 4 AM (parking in local garages)

*New Year's Eve Masquerade Ball*--Old Ebbitt Grill, 675 15<sup>th</sup> Street, NW, 7:30 to 1:30, December 31.

*ATEN Society Private Party*--Old Post Office, Pennsylvania Avenue, 8 PM to 1 AM (parking in garages on 12<sup>th</sup> Street)

*Millennium Gala*-- (invitation only), Organization of American States, 17<sup>th</sup> Street and Constitution Avenue), December 31, 1999, 9 PM -- 2 AM (parking 17<sup>th</sup> through C Street).

Private events in Union Station restaurants and Columbus Club--Union Station; Main Hall and East Hall are "blackout" for December 31.

The table below summarizes the key public events occurring in the District of Columbia

**Friday-December 31, 1999**

CONSTITUTION AVENUE	NATIONAL MALL AREA	OTHER SITES
<i>Pre-Opening Ceremony</i> 9:30 AM to 10:30 AM; <i>Opening Ceremony</i> , 12 <sup>th</sup> Street, 10:30 AM to 12:00 PM	<i>American Voices</i> , National Museum of Natural History, 10:00 AM to 5:30 PM	<i>Millennium Around the World</i> , International Trade Center/Reagan Building, 6 AM to 7 PM
<i>Main Street Millennium</i> , between 9 <sup>th</sup> and 14 <sup>th</sup> Streets, 11 AM to midnight.	<i>Story Circle</i> , National Museum of American History, 10:00 AM to 5:30 PM	
	<i>Future Visions</i> , Hirshhorn Museum, 10:00 AM to 5:30 PM	
	<i>Launch 2000</i> , National Air & Space, 10:00 AM to 5:30 PM	
	<i>America's Millennium Gala</i> , pre-gala show 8 PM to 10 PM; main show 10 PM to 1 AM.	<i>Fireworks</i> : 15 <sup>th</sup> Street and Washington Monument, Midnight
	<i>Fireworks</i> at midnight at 15 <sup>th</sup> Street and the Washington Monument	<i>Electronic Tower 1999 to 2000</i> , Mall at 17 <sup>th</sup> Street, Midnight.

**Saturday-January 1, 2000**

<b>CONSTITUTION AVENUE</b>	<b>NATIONAL MALL AREA</b>	<b>OTHER SITES</b>
	<i>American Voices</i> , National Museum of Natural History, 10:00 AM to 5:30 PM	Fireworks at 12:55 AM behind the Lincoln Memorial from barges on the Potomac.
<i>Main Street Millennium</i> , between 10 <sup>th</sup> and 14 <sup>th</sup> Streets, 11 AM to 6:00 PM	<i>Story Circle</i> , National Museum of American History, 10:00 AM to 5:30 PM	Millennium Around the World, International Trade Center/Ronald Reagan Center
	<i>Future Visions</i> , Hirshhorn Museum, 10:00 AM to 5:30 PM	
	<i>Launch 2000</i> , National Air & Space, 10:00 AM to 5:30 PM	

**Sunday-January 2, 2000**

	<i>American Voices</i> , National Museum of Natural History, 10:00 AM to 5:30 PM	World, International Trade Center/Ronald Reagan Center (January 1-4 )
	<i>Story Circle</i> , National Museum of American History, 10:00 AM to 5:30 PM	
	<i>Future Visions</i> , Hirshhorn Museum, 10:00 AM to 5:30 PM	
	<i>Launch 2000</i> , National Air & Space, 10:00 AM to 5:30 PM	

**PUBLIC INFORMATION****OVERVIEW**

This section describes the information that the public will need to get safely and efficiently to and from events, as well as information about *Main Street Millennium* celebration programs and events

## TRANSPORTATION

On this New Year's Eve, Washington, DC will host what promises to be some of the most exciting events in the world. District agencies have planned carefully so visitors to this huge celebration can get there and can get home. Residents and visitors need to be aware of transportation options before they come to the celebration.

Transportation throughout the Washington, DC area and in surrounding cities and towns is expected to be heavy at all times during the period between December 30, 1999, and the early hours of January 1, 2000. Travel within, into and out of the District of Columbia will probably be much slower than in normal rush hour. The celebration's organizers will continue to work with police and fire department officials throughout the area, as well as with the Metropolitan Transit Authority and the Virginia Department of Transportation, in order to keep the public fully informed of road closures, traffic problems as they develop, and alternate, less-congested routes. There will be a large number of electronic variable message signs on major routes, both inside and outside the District, to inform motorists of traffic conditions. Additionally, news agencies will be kept informed of road closures and other useful traffic information.

All agencies recommend that anyone traveling into or within the District on December 31 use the Metro Rail if at all possible. Metro Rail will run until 3:00 AM, January 1, and buses will run until 4:00 AM. Motorists who must drive into the District are advised to consider that parking will be difficult, if not impossible, and most parking garages and street parking will be full to capacity early in the evening. Celebration organizers recommend that motorists park outside the city and take the Metro or a taxi into the District. When traveling inside the District, Metros and taxis will be the best way to move through the city. Regardless of what form of transportation they use, people coming into the city should do so prior to 10:30 PM on the 31<sup>st</sup>. Additional road closures are expected on both sides of the Potomac later in the evening to accommodate fireworks shows and traffic will be extremely heavy before and after the Lincoln Memorial event.

Event organizers want people to come to the District and to millennium celebration events and to have an enjoyable and memorable time. The events of December 31 and January 1 in the nation's Capitol will be broadcast live around the country and around the world. By using public transportation whenever possible, visitors can help to make America's Millennium evening enjoyable, safe, efficient and "World Class."

### Summary Of Anticipated Road Closures

*Constitution (between 9<sup>th</sup> & 12<sup>th</sup> and between 12<sup>th</sup> & 14<sup>th</sup> Streets, but not 9<sup>th</sup>, 12<sup>th</sup> or 14<sup>th</sup> Streets)--Main Street Millennium Event.* Closes 8:00 PM, December 28<sup>th</sup>. And last until approximately 11:00 PM, January 2. NOTE: access for deliveries to IRS, Dept. of Justice, Museum of Natural History and Museum of American History will be maintained until Friday morning December 31.

*10<sup>th</sup> and 11<sup>th</sup> Streets (between Constitution and Pennsylvania Avenues)--Main Street Millennium Event.* Closes at 12:01 AM, Thursday, December 31<sup>st</sup> until approximately 7:00 AM, January 2.

*12<sup>th</sup> Street (between Independence and Pennsylvania Avenues)--Main Street Millennium Event.* Closes at 8:00 PM, Thursday, December 30<sup>th</sup> until approximately 7:00 AM, January 2.

*E Street (15<sup>th</sup> to 17<sup>th</sup> Streets)--*Closes to vehicles starting at 5:00 PM on December 31 until well into AM hours of January 1.

*15<sup>th</sup> Street (Constitution to Independence Avenues)--*Closes to vehicles/pedestrians starting at about 6 AM on December 31 until about 1-1:30 AM on January 1.

*14<sup>th</sup> Street (Constitution to Independence Avenues)--*Fireworks Event. Closes to vehicles and pedestrians December 31 from 11:45 PM to 12:30 AM. Likely to impact vehicle traffic inbound to DC. Southeast-Southwest freeway is option.

*Arlington Memorial Bridge--*Lincoln Memorial Gala. Closes to vehicle traffic coming into the District from approximately 12:45 PM, December 31 until 1:30 AM, January 1. The bridge will close to pedestrian traffic during a security sweep at 3:00 PM for approximately 2 hours. The Bridge remains open to pedestrian traffic until approximately 12:15 AM just before the fireworks begin.

*Streets Behind Lincoln Memorial and all those feeding onto the Arlington Memorial Bridge from the District--*All will close from approximately 12:30 PM December 31 until approximately 1:30 AM January 1.

*Theodore Roosevelt Bridge--*Fireworks Event. Both close to vehicles and pedestrians from 12:30 AM, January 1 until approximately 12:45. Closing of the bridge will impact vehicle traffic on feeder roads/streets in DC and Arlington.

*Constitution Avenue (15<sup>th</sup> to 23<sup>rd</sup> Streets) --* Will remain open to vehicle and pedestrian traffic as long, as is practical. Determination will be made by Park Police depending on crowd movement, traffic conditions, etc., as to when/if Constitution needs to be closed.

#### **ACCESS TO EVENT INFORMATION**

The *Main Street Millennium* media plan has two major components: to inform residents and visitors about the logistics of getting into and out of the District over the New Year's weekend, and about the celebration's program and events. Information has been sent to District print, radio, and television media.



Press conferences are scheduled between December 13 through the end of the event on January 2, 2000. At the initial press conference, press kits will be distributed that include a press release, information telephone line number, Web site address, schedule of performances, list of exhibitors, list of sponsors, sponsor-event highlights, a sample public service announcement, and event Metro brochure. Five local radio stations will be running promotional liners and commercials thought the week of December 20, and all the radio stations listed earlier will be running public service announcements.

The public will be able to get information about the event from an information telephone line and from the *Main Street Millennium's* Web site (with links to America's Millennium and other sites). *The Washington Post* will publish the *Main Street Millennium* program in its December 24 issue. The following collateral materials are being distributed throughout the metropolitan area, including in Metro stations, buses, and rail cars: 5,000 event posters, 100,000 event brochures, 50,000 event programs, 1500 Metro Bus Card in the bus system, and 200,000 Metro brochures in the bus and rail system.

*The District of Columbia*

*MILLENNIUM*

*CELEBRATION*

*Emergency  
Operations Plan*

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*DECEMBER 31, 1999 -*

*JANUARY 1, 2000*

NOTE: THIS PLAN IS NOT FOR PUBLIC USE. THIS DOCUMENT CONTAINS PRIVILEGED AND CONFIDENTIAL INFORMATION INTENDED FOR THE USE OF AUTHORIZED PERSONNEL IN THE GOVERNMENT OF WASHINGTON, D. C. COPYING OF THIS DOCUMENT IS STRICTLY PROHIBITED.

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## OVERVIEW

### AUTHORITY AND PURPOSE

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The purpose of this document is to summarize the planning efforts for the *Main Street Millennium* Celebration and to provide an overview of the events that will be occurring from December 28, 1999 to January 2, 2000. Because of the significant impact that activities sponsored by the White House, Smithsonian Institution, and other entities will have upon the District's celebration, infrastructure, and law enforcement and emergency personnel, these events and the support services the District will provide to them are also included in the plan.

### KEY COMPONENTS OF THE CELEBRATION

Many events are occurring throughout the District of Columbia to mark the arrival of the new millennium. The highlights of events in Washington include the following: the millennium celebrations *Opening Ceremony* by the First Lady on the 31<sup>st</sup>; the three-day *America's Millennium on the Mall* events at the Hirshhorn Museum, the National Museum of American History, the National Museum of Natural History, and the National Air and Space Museum; the two-day *Main Street Millennium* events on Constitution Avenue; the four-day *Millennium Around the World* show at the International Trade Center/Reagan Building; the gala program at the Lincoln Memorial on the evening of the 31<sup>st</sup>; and midnight and one AM fireworks displays. It is estimated that between 200,000 and 250,000 people will attend these events over a two-day period.

### PLAN STRUCTURE

The Plan has five sections: the Overview gives general information on the event and Plan; Participating Organizations lists key federal, District, and other organizations that are supporting the millennium celebrations and briefly describes the role of each; Events describes the major and satellite events occurring over the New Year's weekend; and Celebration describes what will be occurring during the three-day celebration and includes a program overview and location maps. The detailed operating plans have been developed by federal and District agencies for use before and during the millennium celebrations.

## PARTICIPATING ORGANIZATIONS

The following organizations are key participants in *Main Street Millennium* celebration. That is, they are providing support and resources for and/or sponsoring or underwriting celebration activities.

### DISTRICT AGENCIES

The following District agencies are providing planning and support services for the various events associated with the *Main Street Millennium* celebration. Internal divisions, bureaus, and sections are not shown.

Executive Office of the Mayor	Child and family Services Agency
Department of Consumer and Regulatory Affairs	Department of Health
DC Fire and Emergency Medical Services Department	DC Emergency Management Agency
Office of Communication	Department of Public Works
	Metropolitan Police Department
	Water and Sewer Authority

### FEDERAL AGENCIES

The following federal agencies are providing planning and support services for the various events associated with the *Main Street Millennium* celebration. Internal divisions, bureaus, and sections are not shown.

Executive Office of the President	General Services Agency
National Council for the Traditional Arts	US Department of Education
US Department of Justice	US Department of Interior
US Department of Treasury	US Department of Veterans' Administration

### SPONSORS

Private donors and the District primarily underwrite the *Main Street Millennium* celebration. The following companies are providing financial support to the *Main Street Millennium*.

America Online, Inc	Anheuser Busch
At-A-Glance	Brown Forman Corporation (Korbel)
Chevy Chase Bank	Coca-Cola
DC Lottery and Charitable Games Board	District CableVision
Eastman Kodak Company	Washington Metropolitan Transit Authority
Washington Post	

**RADIO SPONSORS**

All of the following radio stations have broadcast public service announcements regarding the *Main Street Millennium* celebration.

WAMU	WTOP	WHUR	WDCU
WMMJ	WHFS	WKYS	WBIG
WPGC	WTEAM	WASH	WWDC
WMAL	WWRC	WJZW	WYCB
WOL	WDCA	WYTR	WPFW
WGAY	WWDC		

**EXHIBITORS**

The following organizations are providing exhibits within the tents and pavilions at the *Main Street Millennium*.

African American Civil War Memorial	America Online, Inc.
American University	The Anacostia Exhibit
The Black Patriots	District CableVision
DC Housing Finance Agency	DC Open for Business
Eastman Kodak Company	Greater DC Cares
Home Free USA	The Legacy Exhibit
The Morino Institute	National Geographic Society
NFTE	Save America's Treasures
Share our Strength	Southeastern University
Trinity University	The University of the District of Columbia
US Census Bureau	The Young Marines

**DISPLAYS**

The following displays are set up outside of the pavilions and tents at the *Main Street Millennium*.

Main Stage Entertainment Area	Metro Display (Antique Bus)
Millennium Tour	Performance Stage
Town Hall Traveling Wall	

**OTHER ORGANIZATIONS**

The following government and non-profit organizations are providing planning and support services for the various events associated with the *Main Street Millennium* celebration.

Arlington County Police Department	Children's National Medical Center
DC Hospital Association's Clearinghouse	DC Water and Sewer Authority
Hospital Network	
Howard University Hospital	Maryland State Police
National Park Service Foundation	Smithsonian
Virginia Department of Transportation	Virginia State Police
Washington Metropolitan Area Transit Authority	

## PREPARATIONS

### GENERAL

District, federal, and other agencies began detailed planning for the Y2K transition and the millennium celebration in the summer of 1999. The agencies involved have prepared numerous plans. Below are abstracts of these plans. The overall-operating plan for *Main Street Millennium* celebration is not available to the public because of the sensitive information contained in the detailed plans.

### PLANS

**Communications Plan:** The purpose of the communications plan is to set out how event personnel, emergency services personnel, and law enforcement will communicate with each other during the celebration events. The plan describes the types of communication devices, the frequencies, and the cross-channels that will be used by these individuals during the celebration. This plan is contained in Annex A.

**Emergency Medical Services Operations Plan:** The mission of the Emergency Medical Services Bureau is to provide emergency medical care and transportation to District citizens and visitors during the millennium celebrations. The plan sets out how units and staffing will be deployed during events. This plan is contained in Annex B.

**Emergency Operations Plan: Y2K Infrastructure Disruptions:** The purpose of the Emergency Operations Plan is to set out contingency plans in the event that various part's of the District's infrastructure become partly or fully disrupted as a result the Y2K transition. This plan is contained in Annex C.

**Fire Operations Plan:** The mission of the Fire Department is to protect the District citizens, visitors, and their property during the millennium celebrations from fire and hazardous materials. The plan outlines how the Fire Department will provide normal fire protection service, to the degree possible, as well as provide coverage at celebration events, including all fireworks displays. This plan is contained in Annex D.



**Health and Medical Services Operations Plan:** The purpose of this plan is to set out how the District Department of Health will insure appropriate first aid resources are available to the public during the celebration events. The plan details the location of first aid stations and how applicable regulations will be enforced, as well as when personnel at the first aid stations will coordinate with Emergency Medical Services. This plan is contained in Annex E.

**Load In-Load Out Plan:** The purpose of this plan is to provide a detailed schedule for the who, how, when, and where all physical property to be used in the *Main Street Millennium* will be put in place and taken down. The plan covers the tents, stages, exhibits, vendors' booths, and all associated props. This plan is contained in Annex F.

**Media and Public Relations Plan:** The purpose of this plan is to set out when staff will contact the various media on celebration events and logistics related to celebration events and what information they will provide. The plan covers media contacts prior to and during and following the celebration. This plan is a key component in ensuring that visitors to the District during the millennium celebrations are aware of street closing and the problems raised for vehicular traffic, and urges visitors to "take the Metro." This plan is contained in Annex G.

**Police Operations Plan:** The mission of the Metropolitan Police Department (MPD) during the transition to the new millennium is to protect the public safety during a period when there will be numerous events in the District and the potential for infrastructure problems due to Y2K disruptions or terrorist acts. The plan outlines how the MPD will provide normal police service, to the degree possible, as well as effectively deal with other situations that may arise. The plan sets out all MPD coverage of special events, traffic closure and monitoring details, crowd control details, Metro Station support details, fireworks traffic posts, MCI center detail, and crime patrol and response. This plan is contained in Annex H.

**Program and Entertainment Plan:** The purpose of this plan is to provide the detailed information on all programs and entertainment that will occur at the Main Street on Mall celebration. The plan sets out the "who, when, and where" for all programs, acts, and other activities occurring during the celebration. This plan is contained in Annex I.

**Sponsorship Agreements:** A series of agreements between the District and all sponsors who will be participating in the *Main Street Millennium Celebration* were executed. These documents identify the commitment of resources among the affected parties. This plan is contained in Annex J.

**Transportation Plan:** The purpose of this plan is to identify all changes in the existing transportation system into, within, and around the District before, during, and following the celebration. The plan identifies temporary, intermittent, and extended street closings, as well as alternative routes for vehicular traffic. This plan is contained in Annex K.



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# **District of Columbia Emergency Operations Plan**



## **Annex O**

### **Y2K Infrastructure Disruptions**

**December 1999**

**Anthony A. Williams, Mayor**

**Emergency Operations Plan**

**Annex O**

**Y2K Infrastructure Disruptions**

**Government of the District of Columbia**

**Emergency Management Agency**

**Peter LaPorte, Acting Director**


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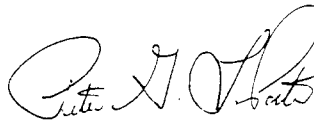
**Signatories to  
Annex O  
Y2K Infrastructure Disruptions**

**Government of the District of Columbia  
Emergency Management Agency**

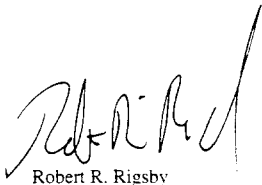
Anthony A. Williams  
Mayor  
District of Columbia

  
Norman S. Dong  
Interim City Administrator  
Office of the City Administrator

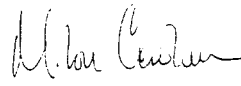
Dr. Abdusalam Omer  
Chief of Staff  
Office of the Mayor

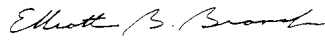
  
Peter G. LaPorte  
Acting Director  
Emergency Management Agency

Suzanne J. Peck  
Chief Technology Officer  
Office of the Chief Technology Officer

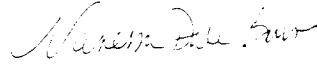
  
Robert R. Rigsby  
Interim Corporation Counsel  
Office of the Corporation Counsel

Valerie Holt  
Chief Financial Officer  
Office of the Chief Financial Officer

  
Milou Carolan  
Acting Director  
Office of Personnel



Elliott Branch  
Acting Chief Procurement Officer  
Office of Contracting and Procurement



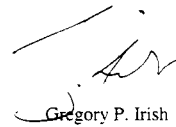
Vanessa Dale Burns  
Director  
Department of Public Works



Thomas Tippet  
Interim Chief  
Department of Fire & Emergency Medical Services

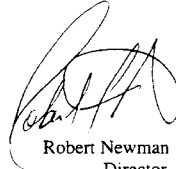
John Fairman  
Chief Executive Officer

D.C. Health and Hospital Public Benefit Corporation



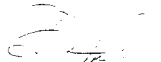
Gregory P. Irish  
Director  
Department of Employment Services


David Gilmore  
Receiver  
D.C. Housing Authority

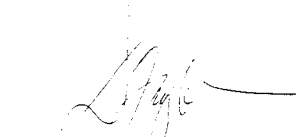



Robert Newman  
Director  
Department of Recreation and Parks

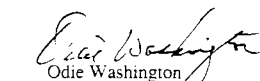
Lawrence H. Mirel  
Acting Commissioner  
Department of Insurance and Securities Regulation

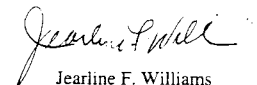
  
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 Executive Director  
 Office on Aging

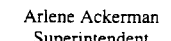
  
 Charles H. Ramsey  
 Chief  
 Metropolitan Police Department

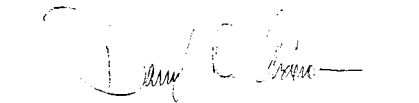
  
 Darlene R. Taylor  
 Director  
 Office of Intergovernmental Relations

  
 Ivan C.A. Walks, M.D.  
 Director  
 Department of Health

  
 Odie Washington  
 Director  
 Department of Corrections

  
 Jearline F. Williams  
 Director  
 Department of Human Services

  
 Arlene Ackerman  
 Superintendent  
 D.C. Public Schools

  
 Darryl D. Anderson  
 Acting Executive Director  
 Office of Cable Television and Telecommunications



Adrienne Buckner  
Acting Commissioner  
Commission on Social Services  
Department of Human Services

Peggy Armstrong  
Press Secretary  
Office of the Mayor

## I. Purpose

This Annex will serve as the framework for all District Government agencies and departments for information coordination and emergency response activities for potential Y2K disruptions. Annex O provides guidance and direction governing rapid response to emergencies caused by the unpredictable effects of the transition to the Year 2000 which will assist in mitigating risks and provide a safety net in the event of the loss of essential services or resources due to Y2K disruptions. This transition could impact the operations of automated communications, information technology (IT), and embedded electronic components systems.

## II. Scope

The D.C. Emergency Management Agency (EMA) will be fully mobilized during known Y2K trigger dates to ensure the continuity of District services to citizens. In addition, the EMA Emergency Operations Center (EOC) will be fully augmented with representatives from appropriate District and Federal agencies as well as regional Essential Service Providers (ESP). EMA will lead the development of the coordinated response and recovery capabilities of District agencies. All District-wide emergencies will be coordinated from the EOC with direction from the Mayor and key District officials from the Consequence Management Team (CMT). EMA will coordinate with the Office of the Chief Technology Officer's (OCTO) Project Management Office (Y2K PMO) and the Mayor's Public Information Office (PIO) to disseminate relevant Y2K information to the District agencies and citizens.

When warranted, EMA will deploy the Emergency Response Team (ERT) to respond to an emergency incident to coordinate, assess information, determine resources requirements, set priorities, disseminate information, and take actions for response and recovery operations. The ERT will consist of EMA, F&EMS, MPD, DCRA, and other appropriate District agencies.

EMA is the lead agency for all District-wide emergencies. EMA will coordinate the response of appropriate agencies and personnel from around the District or contiguous jurisdictions. The Consequence Management Team (CMT) will be solely responsible for declaring any incident an emergency or disaster requiring external (e.g., Federal) assistance. The EOC will receive status reports from the Y2K PMO as input into their continuous environment scan. EMA will coordinate the overall District efforts to collect, process, report, and display essential elements of information and facilitate support for planning efforts in response and recovery operations. EMA will collect and process essential elements of information from all District agencies, Essential Service Providers (ESP), and other sources, and disseminate it for use by response operations, and provide it as input for reports and briefings to the media by the Mayor's Press Secretary. EMA will consolidate information into incident reports and other materials to describe and document overall response activities to keep the Mayor, City Administrator, DC City Council members, other key elected officials, department and agency heads, the Federal Emergency Management Agency, Federal Coordination Center, etc., informed of the status of the overall response operations. Also, EMA coordinates the District's resources before, during, and in the aftermath of a major emergency or disaster.

## III. Situation and Assumptions

### A. Situation

1. The effect of a new century on critical time-and-date functions of modern communication and computer-based IT systems is unknown and without precedent. Prior experiences for estimating or predicting the effects of the millennial change on the performance or reliability of automated systems or equipment do not exist.
2. Critical time-and-date functions may be impacted by the millennium rollover or by preceding or subsequent zero date trigger dates. These two instances present unique staffing and readiness levels and are addressed in the Section III Part C.
3. Resulting emergencies will potentially affect lives, property, and the continuing ability of the District government, the private sector, and public utilities to deliver essential services.

Annex O – Y2K Infrastructure Disruptions

4. Although major system failures are likely to become known in the hours immediately following the turn of the century, more subtle effects, such as inaccuracies in automated inventory systems or interruptions in automated commodity delivery systems will not become apparent for days or weeks.
5. The District of Columbia (District) Emergency Management Agency (EMA) Emergency Operations Center (EOC) and EOC representatives will be activated prior to the end of the current calendar year. The EOC will be prepared to coordinate responses to Y2K-related emergencies. For the millennium rollover and leap year dates, the EOC will be fully augmented by District agencies. For zero date triggers, the EOC will be partially augmented with primary first responders. Others will remain on alert for potential notification to fully staff the EOC in the event of an emergency.
6. EMA will continuously monitor public news networks and other information sources for early indications of possible adverse Y2K consequences as the New Year takes effect through Asia and Europe. EMA will initiate appropriate actions to eliminate or reduce the impact of similar occurrences within the District.

#### **B. Assumptions**

1. Y2K-related incidents requiring emergency responses may range from sporadic to frequent and insignificant to disruptive, or there may be no discernable effects at all.
2. Although specific IT systems or embedded devices may be Y2K-ready, the exchanging of data with not-ready remote data sources could produce a chain reaction or cascading effect, as inaccurate data is replicated through otherwise ready interconnected systems or equipment.
3. Partial or total system and equipment failures may result from software programs or embedded devices that do not include a capability for recognizing years beyond 1999. Inability of automated devices to recognize the current date, beginning January 1, 2000, may cause erratic or unreliable performance, intermittent failures, or complete shutdowns of affected systems or equipment.
4. The Emergency Management Agency (EMA) will coordinate the District's response and recovery operations should certain agencies exhaust available resources in responding to multiple or simultaneous emergencies resulting from Y2K-related system or equipment failures.
5. Winter storms, terrorist acts, and other unrelated emergencies may occur simultaneously with Y2K-related emergencies.
6. Outreach campaigns that address Y2K readiness may prove helpful in building public confidence while counterbalancing misinformation and minimizing unwarranted public concerns.

### **IV. Concept of Operations**

#### **A. General**

1. The response to direct, indirect, or perceived Y2K emergencies will be managed using the District of Columbia Emergency Operations Plan (EOP) – Basic Plan.
2. The Y2K Command Structure is diagramed in Appendix B. This diagram shows data flow and reporting responsibilities for EMA, Office of the Chief Technology Officer's Y2K Project Management Office (OCTO Y2K PMO), and the agencies.
3. Command of departments or agencies involved in emergency management is not altered by the event. Each department or agency director is in command of the overall operation of their organization. Under certain conditions, a situation may require the head of a department to take command of operations in the field.

4. Normal communications and reporting channels will be used to the maximum practical extent possible. Emergency communications systems described in Appendix C will be fully operational, and will be used in the event commercial communications systems are disrupted, saturated, or otherwise unavailable.
5. EMA shall be linked to the Federal Coordination Center's (FCC) Information and Coordination Reporting System (ICRS) which will provide information on the status of systems world-wide, giving the District information on any Y2K disruptions 14 to 18 hours ahead of the District's time change. The Mayor's Office, City Administrator, and Chief Technology Officer will also have an interface into this system. The ICRS report will assist the District in proactive decision-making strategies.
6. EMA will activate local Radio Amateur Civil Emergency Services (RACES) and Radio Emergency Associated Citizens Teams (REACT) to complement or augment emergency communications systems.
7. The EMA Director will maintain open communication channels with State Emergency Management Directors from Virginia and Maryland at prescribed intervals on December 31, 1999. State EMA Directors will be contacted at 6:00 p.m., 8:00 p.m., and 10 p.m.; and as needed to assure effective multi-jurisdictional coordination.

## **B. Preparation**

1. The OCTO's Y2K PMO is the lead agency for and exercises oversight of Y2K-related transition plans, technical preparations, and system conversion procedures.
2. EMA is the lead agency for the development and execution of the Readiness and Consequence Management Program which will be utilized to mitigate, prepare, respond, and recover from District-wide Y2K incidents.
3. District agencies shall maintain a state of heightened vigilance during the last quarter of 1999 to detect unexplained anomalies in computer-related operations that involve forward transactions beyond January 1, 2000, and report observations to the Y2K PMO and EMA, respectively.
4. The Y2K PMO will coordinate closely with and keep EMA advised of transition or conversion issues having the potential to cause system failures or service interruptions that could plausibly affect lives or property, or the continuity of government, and require emergency response actions.
5. District agencies will be prepared to respond to reports of Y2K-related anomalies. Where necessary or appropriate, the Y2K PMO will disseminate relevant warning, mitigation, or remediation information to agencies and the private sector.
6. District agencies will apply standard business continuity and business resumption planning principles to ensure the continuity of essential services. Emergency procedures must be capable of being implemented rapidly and seamlessly in the event automated IT systems become unreliable, disrupted, or inoperable.
  - All District-owned emergency response vehicles, emergency support equipment, and standby power generators will be refueled and tested prior to December 31.
  - District facilities or activities considered critical to safety of life or protection of property will be surveyed in advance to ensure the availability of emergency power sources. Where necessary, transportable generators of sufficient capacity should be deployed, installed, and tested prior to December 31. Requirements for emergency power sources that cannot be fulfilled from internal resources should be referred to EMA as far in advance as possible.
7. The EMA EOC will organize, coordinate, and manage District-wide Y2K emergency response actions on the same basis as all other emergencies. The EOC will operate in accordance with the schedule attached as Appendix A.

8. The EOC and agency representatives augmenting the EOC will continuously monitor news reports and review information provided by the Federal Government, to acquire early warning of reported incidents in other countries, discern trends, disseminate information, and initiate advance actions as may be prudent or necessary.
9. The EOC shall provide to the FCC ICRS the District of Columbia's status information regarding potential Y2K events.

### C. Response

1. As EMA is the lead agency for planning District-wide responses to and recovery from all Y2K emergencies, Response actions will be coordinated through EMA. The Y2K PMO will provide technical advice and assistance to EMA as appropriate, to include assignment of at least one agency liaison to the EOC, when activated.
2. The EOC will continue to monitor news reports and review Y2K-related information from all available civil and governmental sources from midnight on December 31 through the close of the first business day of the New Year, January 3, 2000.
3. District agencies should immediately establish procedures to survey buildings, facilities, internal IT systems, and other automated process control systems as soon as possible to detect and report malfunctions, disruptions, or failures that are or may be Y2K-related. District agencies and departments shall execute their internal contingency plans to continue mission-critical business processes when deemed necessary. Surveys should include all systems and equipment with automated or remotely controlled components including, but not limited to, the following:
  - a. Stand-alone, network, and mainframe computers, and other automated data processing systems.
  - b. Equipment that includes internal date/time functions.
  - c. Private Branch Exchange (PBX) telephone systems and operator consoles.
  - d. Connectivity to commercial local and long distance telephone systems.
  - e. Access and connectivity to remote host computers or servers that provide data considered critical to continuity of operations.
  - f. Emergency communications systems, including pagers for on-call or emergency staff.
  - g. Heating, ventilation, and air conditioning (HVAC) systems.
  - h. Refrigeration systems.
  - i. Elevators.
  - j. Internal and external lighting systems, especially remote controlled or automatic timing devices.
  - k. Alarm and intrusion detection systems, including closed-circuit video monitoring systems.
  - l. Fire control and sprinkler systems.
  - m. Automated access controls, such as pass card and electronic lock systems.
4. Manual or alternative processes will be implemented to continue essential operations in the event automated process control systems become unreliable, disrupted, or inoperative.

5. Public buildings, critical systems, and equipment should be subjected to heightened monitoring on Monday, January 3, 2000, which is the first business day of the New Year, to detect and report any latent anomalies that did not appear during the initial surveys.
6. Reasonable vigilance should be maintained during the normal course of business to detect and report unusual delays in the delivery of supplies or services that may be attributable to failures in automated inventory control and commodity distribution systems.
7. Known or suspected Y2K-related incidents will be reported to the EOC. Incidents occurring prior or subsequent to the EOC activation schedule will be reported to the EMA Director. Normal reporting procedures apply, specified in the Basic Plan and Annex O. Periodic updates will be provided, where appropriate.
8. If the situation warrants, the EMA Director, in consultation with other appropriate emergency response agencies, will recommend to the Mayor to declare a Public Emergency in accordance with DC Law 3-149 (District of Columbia Public Emergency Act of 1980). When necessary, the EMA Director will initiate Requests for Federal Assistance (RFAs) with the Federal Government, under provisions of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, or other applicable Federal authority.

#### **D. Activation Criteria**

- Day One Activation – Since the millennium rollover time and date is a known occurrence, the mobilization of District resources will be accomplished in a proactive and methodical manner. The EOC will be activated on December 28, 1999 by the Emergency Management Director and remain operational until January 4, 2000 or until the Director of Emergency Management, under the authority of the Mayor, determines immediate Y2K public safety threats have been mitigated. The EOC will be fully augmented by agency liaisons on a 24 hour a day basis with rotating shifts defined in Appendix A. Annex O will guide District preparedness, response, and recovery efforts to any District-wide Y2K emergency potentially impacting public safety.
- Rollover Activation – As noted in the Day One Activation strategy above, the EOC will be fully augmented during the actual rollover to January 1, 2000. The agency liaisons and EOC staff will actively engage in monitoring actions that include, but are not limited to: television and radio broadcasts, Internet links, conference calls to outside entities, incoming status reports from foreign countries via the Department of State, etc. These monitoring activities will enhance the District's knowledge of Y2K interruptions and alert personnel to potential incidents that may impact or have impacted the District's emergency response operations, essential and routine services, residents, visitors, employees, or businesses. All District Essential Personnel will be at their prescribed duty sites or on alert status during the actual rollover to detect any Y2K anomalies and expeditiously respond with the appropriate resource commitments.

#### **E. Notification Procedures**

Departments and agencies maintain warning and alerting procedures and employee call back procedures when augmentation is required and liaisons must report to the EOC. Employees designated as "essential employees" by agencies will either be on alert or already on site at their respective duty posts which will enhance the notification procedure. Additionally, since the EMA EOC will be activated and augmented during the high-risk time frame, the notification procedures will follow the command structure developed within the EOC. EMA will notify all agency liaisons in the EOC when an incident has occurred or a response capability is required. Subsequent to the notification from EMA staff, the agency liaisons will determine the appropriate course of action for their particular agency. Each agency within the EOC is tasked with ascertaining the impact on or requirements from their agency and will follow established agency protocol for notification within that agency.

In the event of an incident during their absence, directors of departments and agencies shall provide for a succession in command for operational control of their respective agencies. All agency liaisons in the EOC shall be knowledgeable of the command succession and all notification procedures required to implement a command change.

Notification of technical failures shall be directed to the OCTO Y2K PMO for collection and response. The Y2K PMO will dispatch technicians as needed to assist agency efforts to correct Y2K failures. All technical incidents will be summarized to the EMA EOC via a status report from the OCTO EOC liaison as necessary. Incidents deemed critical by the Y2K PMO shall be communicated immediately to the OCTO EOC liaison for notification of the EOC staff.

#### F. Incident Assessment Process

The first responder to an emergency situation shall serve as the Incident Commander and be responsible for emergency management activities until the Incident Commander of the appropriate agency arrives at the scene of the incident. Each initial Incident Commander must consider the safety factors and follow developed plans and procedures to ensure proper control of the situation.

Technical failures within an agency will be handled by the on site technical staff of that agency. During the augmentation period for potential Y2K failures, all technical failures shall be reported promptly to the OCTO Y2K PMO for collection and response. The Y2K PMO staff will maintain a log of all activity to determine the potential for subsequent failures as the result of other failures. The Y2K PMO will monitor the activity being reported to them in an effort to discern possible trends in failure scenarios or collateral failure exposures. All incidents potentially impacting mission-critical business processes and/or public safety of the District shall be communicated directly to EMA. The incident assessment process for public safety concerns will follow established protocol as outlined by the Incident Command System.

Also, departments and agencies are responsible for the utilization, protection, maintenance, repair, and rehabilitation of supplies, equipment, and facilities operated, controlled, or utilized by them.

#### V. Organization and Responsibilities

All department and agency Directors are aware of basic responsibilities, both primary and support, in each phase of emergency management as they apply to the principle hazards, including Y2K, identified for the District. *Information contained in the Emergency Operations Plan (EOP) Chapter IV, pages 23 through 50, lists previously identified agency responsibilities during the emergency management cycle, e.g. mitigation, preparedness, response, and recovery, to specific hazards other than Y2K.* Agencies are organized into **EMERGENCY SUPPORT FUNCTIONS (ESF)** categories as defined by the Federal Response Plan. Essential resources are grouped in 14 Emergency Support Functions, each headed by a **Primary Agency** with other agencies providing support as necessary. Annex O relies on the emergency plans of departments and agencies. A reference matrix of agency roles listed by "Primary" or "Secondary" roles are included in Appendix D.

- ESF 1: Transportation
- ESF 2: Communications
- ESF 3: Public Works and Engineering
- ESF 4: Firefighting
- ESF 5: Information and Planning
- ESF 6: Mass Care
- ESF 7: Resource Support
- ESF 8: Health and Medical Services
- ESF 9: Urban Search and Rescue
- ESF 10: Hazardous Materials
- ESF 11: Food
- ESF 12: Energy
- ESF 13: Law Enforcement
- ESF 14: Information Technology

## EMERGENCY SUPPORT FUNCTIONS



**ESF 1: Transportation**

**Purpose:** The purpose of this Emergency Support Function (ESF) is to provide for the coordination of transportation support to perform emergency/disaster assistance operations.

**Responsibility:** Provide District Agency and civilian transportation support.

**Primary Agency:**

- **Department of Recreation and Parks (DCRP)** – DCRP will operate its fleet of buses and other vehicles for transportation at the direction of the EMA Director. DCRP's volunteer base includes Commercial Drivers Licenses holders.

**Supporting Agencies:**

- ♦ **D.C. Emergency Management Agency (EMA)** – EMA will coordinate and facilitate both obtaining and utilizing the transportation capacity during the immediate lifesaving response phase. All transportation requests will be coordinated through EMA for review and action. If the transportation infrastructure is severely damaged, EMA will request, through the Federal Emergency Management Agency, federally arranged transportation support. EMA will provide input to the Information and Planning ESF as to transportation status within the District.
- ♦ **DC Public Schools (DCPS)** – DCPS will provide its fleet of school buses to assist with transport of evacuees to shelters.
- ♦ **Department of Employment Services (DOES)** – DOES in coordination with EMA will assist in providing equipment – vans, vehicles, etc. and in recruiting emergency manpower, as needed, to assist in emergency transportation.
- ♦ **Department of Human Services (DHS)** – DHS has a limited number of buses, vans, four wheel drive vehicles and sedans that could be used for transportation of persons in time of emergency. Requests for transportation will be handled on an individual basis and decisions made will depend on the severity of the need and the availability of equipment. Some of the needs which would receive a high priority are:
  1. Transport of persons with disabilities
  2. Transport of persons with mental disabilities and/or juveniles to court-ordered service facilities.
  3. Transport of city officials whose presence is vital to the performance of city business.
- ♦ **Department of Public Works (DPW)** – DPW will provide licensed drivers and vehicles for transportation assistance in emergency or routine situations. DPW will analyze and report on the transportation infrastructure accessibility level for transport of relief services and supplies. DPW will clear emergency access routes to permit a sustained flow of emergency relief.
- ♦ **Metropolitan Police Department (MPD)** – MPD will provide critical intersection control and will report on any area transportation infrastructure disruptions. MPD will provide escort of emergency response vehicles.
- ♦ **Fire & Emergency Medical Services (F&EMS)** – F&EMS will provide emergency transportation for individuals needing pre-hospital emergency medical care.
- ♦ **Commission on Mental Health Services (CMHS)** – CMHS will provide “U Drives” to the District Government in emergency situations on an as needed basis. Note vehicle drivers will not be provided from the CMHS staff.
- ♦ **D.C. National Guard (DCNG)** – DCNG will provide transportation support during public emergencies.
- ♦ **Washington Metropolitan Area Transit Authority (WMATA)** – WMATA will provide the civil transportation infrastructure for localized transportation and support EMA, upon request, with transportation for response and recovery operations. WMATA will have a liaison at the EOC and provide input to the EOC for the Information and Planning ESF on overall civil transportation infrastructure systems.

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**ESF 1: Transportation (Continued)**

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**Resource Requirements:**

- ✓ Buses (with physically challenged accessibility)
- ✓ Vans (with physically challenged accessibility)
- ✓ Other Vehicular Transportation (4-wheel drive capability)
- ✓ Licensed Drivers
- ✓ Communications
- ✓ Maps
- ✓ Technical Personnel for analysis of transportation infrastructure
- ✓ Facilities
- ✓ Fuel

**ESF 2: Communications**

**Purpose:** The purpose of this Emergency Support Function is to assure the provision of telecommunications support for response efforts following emergency or major disasters. This ESF will coordinate the establishment of telecommunications support for areas that have been impacted by extraordinary situations, and other emergencies.

**Responsibility:** Provide communication support.

**Support Function:** is to assure the provision of telecommunications support for response efforts following emergency or major disasters. This ESF will coordinate the establishment of telecommunications support for areas that have been impacted by extraordinary situations, and other emergencies.

**Primary Agency:**

➤ **D.C. Emergency Management Agency (EMA)** – EMA shall employ current communication methods to notify the appropriate agencies and personnel in the event of a District-wide emergency. This mode of communication is primarily commercial telephone service, but in the event of a telecommunications outage, EMA will provide telecommunications support to those agencies deemed to have critical business processes impacting public safety. EMA currently operates on the 800 MHz trunked radio frequencies. Each agency will be designated into agencies receiving portable 800 MHz radios will be provided to. The list of agencies is contained in Appendix C. EMA will provide input to the Information and Planning ESF as to telecommunications status within the District.

EMA) – EMA shall employ current communication methods to notify the appropriate agencies and personnel in the event of a District-wide emergency. This mode of communication is primarily commercial telephone service, but in the event of a telecommunications outage, EMA will provide telecommunications support to those agencies deemed to have critical business processes impacting public safety. EMA currently operates on the 800 MHz trunked radio frequencies. Each agency will be designated into agencies receiving portable 800 MHz radios will be provided to. The list of agencies is contained in Appendix C. EMA will provide input to the Information and Planning ESF as to telecommunications status within the District.

During public emergencies and Presidential Emergency and/or Disaster Declarations, EMA will utilize amateur radio networks/systems to provide daily and emergency public service communications. These networks/systems include the Radio Amateur Civil Emergency Services (RACES) and the Radio Emergency Associated Communication Team (REACT) utilizing Citizen Band radio equipment.

The contingency communication methods are described in Appendix C. The emergency communications methods would be used as the primary mode of communication until the telecommunication infrastructure is restored and confirmed by the EMA Director.

**Supporting Agencies:**

- **Fire & Emergency Medical Services (F&EMS)** – F&EMS will utilize the current 154 MHz radio system as the primary communication link. F&EMS also serves as the Emergency 911 backup location for MPD and once staffed by MPD, is capable of receiving and dispatching incoming emergency phone calls. F&EMS will notify EMA using emergency communications methods if normal telecommunication methods fail. The F&EMS Chief, or designee, will report to the EMA Director, or appropriate designee, any public safety disaster that the Department may become aware of at any given time. Firehouses will be staffed and capable of handling walk-up emergency requests from the general public during telecommunications outages.
- **Metropolitan Police Department (MPD)** – MPD will utilize the current 410 MHz radio system as the primary communication link. MPD is the primary Emergency 911 center for receiving and dispatching incoming emergency phone calls. MPD will have more than 125 Emergency Service Sites (ESS) located throughout the District - in fire stations, community centers, local businesses and other locations. Each ESS will be staffed by sworn police officer, reserve officer and/or police recruits. Each member will maintain radio communications with essential emergency personnel and be able to relay requests for service and other information. In the event of a city-wide or police emergency, MPD will notify its personnel via traditional communications methods such as radios, landline telephones, cellular telephones, and pagers. Response to emergency situations will be coordinated through EMA via the EOC. Also, MPD can utilize Citywide (Channel) 1 to communicate with EMA, other city agencies, and surrounding jurisdictions. In addition, the MPD major radio base stations and the main CAD computer are equipped with emergency generators and/or an UPS. As a result, they can continue to function for a limited period of time if there is a power failure. The base stations can also serve as relay sites for a specific geographic area. However, in order to ensure that the public can contact the police in the event of an emergency, two or more Emergency Service Site (ESS) will be established in each PSA. All firehouses will serve as ESS and will be staffed by MPD personnel. A vehicle with a mounted radio will be required to stay on station. Civilian and limited duty personnel will be utilized to staff these sites when appropriate in order to free up sworn personnel for street duty. If necessary, conduct door-to-door warnings in an area about to experience an emergency, particularly at night. Also assist in warning non-English speaking people using multi-lingual officers.

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**ESF 2: Communications (Continued)**


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- **Bell Atlantic** – Bell Atlantic will provide a liaison to the EOC to ensure continuity of services and integrity of its communications infrastructure and coordination efforts during Y2K-related emergencies. Bell Atlantic will review restoration processes/priorities and provide technical explanations to EOC liaisons, as well as provide status report briefings to EMA.
- **Department of Corrections (DOC)** – DOC will utilize its own systems to conduct operations inside and outside of a prison facility. In the event that a communications center is "taken over" by inmates, the frequencies that are compromised will not be used for tactical operations and an alternate communications system must be utilized.
  1. MPD will support the response operations through use of their normal tactical channels and special frequencies as needed.
  2. Fire & Emergency Medical Services may activate the mutual aid channel (DCFD-3) to provide inter-jurisdictional communications.
  3. Emergency Management Agency will utilize the operational channel (Channel 1) for observers who may respond to the scene of a prison disorder.
  4. Channel 2 will be used for contact with the Mayor, City Administrator, and other city officials who have the EMA radio in their official vehicle or office.
  5. EMA operations staff and liaisons from other agencies who report to the Emergency Operations Center (EOC) will monitor the WAWAS net. DPW controls 36 and 37 MPD and DCFD frequencies, the agency "hotlines," and hotlines to METRO and PEPCO.
  6. *Special Note: In the event of a "takeover" of the control center at Youth Center, the NAWAS and WAWAS nets and EMA Channels 1 and 2 may be compromised. The WAWAS and NAWAS phones can be disabled from the gate tower location. EMA radios can be disabled by turning off the transmitters located in the EOC.* DOC shall employ current communication methods to notify the appropriate agencies and personnel of any situation requiring their assistance for a millennium change emergency. This mode of communication is primarily via commercial telephone service, but in the event of a telecommunications outage, the communications work around would be employed. The contingency communication methods are described in Part D below, and will be used as the primary mode of communication until the telecommunication infrastructure is restored and confirmed by the EMA Director. DOC has promulgated procedures to all facilities which are part of the correctional system to make timely notifications and warnings to District and/or Fairfax County and Prince William County (escapes) authorities as appropriate when a prison incident occurs.
    1. Department of Corrections – When it comes to the attention of the Administrator or senior official on duty at an institution or facility that an "incident" has occurred, the Director, Deputy Director, Security Officer, and Communications Officer shall be immediately notified. Thereafter, within five minutes after confirmation that the incident has occurred, the following District authority and Fairfax officials shall be notified by the Director or senior official on duty:
      - The Emergency Operation Center (EOC) (202) 727-6161
      - Chief, Fairfax County Police (703) 691-2233 or the Fairfax County Police "Hotline".*Note: Notification to the Fairfax County Police is not required when an incident occurs at the D.C. Jail or Community Services "halfway houses."*
    2. Emergency Management Agency – Upon receipt of warning of an incident from the DOC, EMA Operations Staff will record all information available on the nature and extent of the problem. Further notifications may then be made to:
      - Chief of Operations – EMA
      - Deputy Director – EMA
      - Director – EMA
      - Metropolitan Police Department
      - Fire & Emergency Medical Services Department
      - Department of Public Works
      - Department of Human Services
      - D.C. Public Schools

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**ESF 2: Communications (Continued)**


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3. Be prepared to establish a teleconference with the following officials upon request of the Director, DOC
  - City Administrator
  - D.C. Police Chief
  - D.C. Fire Chief
- ♦ **Department of Human Services (DHS)** – The Oak Hill Youth Center will maintain emergency communications by 800 MHz radio and by telephone.
- ♦ **Department of Recreation and Parks (DCRP)** – DCRP will utilize the 800 MHz radio system to coordinate response efforts during a telecommunications outage. Additionally, DCRP, due to its close proximity to EMA.
- ♦ **Department of Public Works (DPW)** – DPW has personnel on the MPD communications band. DPW will respond and support via personnel, vehicles, supplies, etc. DPW will adhere to EMA communications procedures. In the event of communications failure, DPW will use carriers to deliver documents. The 800 MHz radio system will serve as the emergency communications vehicle if primary telecommunications modes fail.
- ♦ **Department of Health (DOH)** – DOH's normal communications will rely on the local commercial telephone system including cellular telephones, pagers, and computer modem. In the event of a telephone system failure, DOH will employ communications work around procedures to ensure that critical information is communicated. In addition, DOH will participate in the EMA emergency communications plan up to and including switching to the 800 MHz radio system as the primary communications link.
- ♦ **D.C. Water and Sewer Authority (WASA)** – WASA will be available in the EMA EOC to coordinate information with WASA's Command Center to restore service. WASA will utilize the 800 MHz system and other alternative methods to communicate in the event of an outage to normal communications.
- ♦ **Department of Employment Services (DOES)** – DOES will follow EMA's communications procedures. In the event of a telephone system communication failure, DOES will utilize cellular telephones, pagers and computer modem. DOES will participate in the EMA emergency communications plan, including switching to the 800 MHz radio system, and/or Citywide Channel 1, to ensure that critical information is communicated.
- ♦ **Office of Property Management (OPM)** – OPM's Protective Service Police (PSP), at present, is equipped with hand-held walkie-talkies and telephones. During emergencies, the OPM liaison at EMA EOC will keep the PSP aware of all situations within District facilities.
- ♦ **Office of the Chief Technology Officer (OCTO)** – OCTO will establish and maintain a communications link with their EOC liaison using the 800 MHz radio system to update monitoring status and relay pertinent data.
- ♦ **D.C. Public Schools (DCPS)** – DCPS will utilize the 800 MHz radio system as its primary communications system and will have a liaison in the EMA EOC.
- ♦ **D.C. National Guard (DCNG)** – DCNG will operate on its frequency, which has an interface with the EMA EOC and will provide a liaison to the EMA EOC.

**Resource Requirements:**

- ✓ Mobile or transportable telecommunications equipment
- ✓ Multi-channel radio systems
- ✓ Base station and hand held portables
- ✓ Mobile or transportable satellite systems
- ✓ Trained installation and operations personnel for deployment to the field

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**ESF 3: Public Works and Engineering**


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**Purpose:** The purpose of this Emergency Support Function is to provide Public Works and Engineering support to assist in needs related to lifesaving or life protecting. Public Works and Engineering support includes technical advice and evaluations, engineering services, construction management and inspection, emergency contracting, emergency repair of wastewater and solid waste facilities, and real estate support.

**Responsibility:** Restore essential public services and facilities.

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**Primary Agencies:**

- **Department of Public Works (DPW)** – DPW will be fully mobilized during known Y2K trigger dates to ensure the continuity of District services to citizens. In addition, DPW will have a representative in the Emergency Operations Center (EOC) providing a status of DPW operations. DPW will clear debris from emergency routes for passage of emergency personnel and equipment for lifesaving, life protecting, health and safety purposes during the immediate response phase, provide temporary construction along emergency access routes which include damaged streets, roads, bridges, and any other facilities necessary for passage of rescue personnel, and provide technical assistance and damage assessment, including structural inspection of structures.
- **Water and Sewer Authority (WASA)** – WASA will provide to the public, distribution of potable water, the collection of wastewater and storm water, the delivery of wastewater to the wastewater treatment facility, and the treatment of wastewater. During district-wide emergencies, WASA will have a representative in the EOC and coordinate with other agencies and provide information to EMA on restoration of water supply systems and the provision of water for fire fighting. WASA will provide information to EMA EOC on damages to its facilities.

**Supporting Agencies:**

- ◆ **Department of Human Services (DHS)** – DHS will operate its facilities through its Office of Facilities Management. This includes provision for generators, water, security personnel, etc. DHS will assess and report any damages to its facilities.
- ◆ **Office of Property Management (OPM)** – OPM will be the lead agency with regards to implementing the following actions: (1) facilities management and (2) the purchasing and distribution of fuel oil (Energy Management). The facilities management services include building security, maintenance and repairs, custodial services and snow removal. Energy services will also track utility services within the District government. OPM's Facilities Operations Maintenance Administration (FOMA) can assist in restoring facilities.
- ◆ **Department of Consumer and Regulatory Affairs (DCRA)** – DCRA will cooperate in the coordination effort of EMA for District-wide emergencies where DCRA is deemed an appropriate agency to assist in an emergency response operation. DCRA will assist other agencies in the preparation of damage reports, damage assessments, and environmental health and quality control measures.
- ◆ **Potomac Electric Power Company (PEPCO)** – PEPCO will provide electrical services to the public and businesses of the District. PEPCO will provide a liaison to the EOC to ensure the effective operation of its communications and coordination efforts during Y2K-related emergencies, specifically monitoring the power grid and its impact on the District. PEPCO will provide operational/restoration information reports on response activities to the EOC. Additionally, PEPCO will assist EMA in preparing an impact statement outlining the effects of a long-term power outage or government operations, as well as the threat to the health, welfare, and safety of citizens in the affected areas.
- ◆ **Washington Gas Company (WGC)** – WGC will provide a liaison to the EOC to ensure the effective operation of its communications and coordination efforts during Y2K-related emergencies. WGC will provide information on restoration efforts, the areas effected by a gas shortage/outage, and the effects of a long-term outage on government operations and the threat to the health and welfare, and safety of citizens. Also, WGC will provide assistance to EMA in issuing statements concerning a natural gas shortage or outage situation, and safety tips and instructions on gas appliances, furnaces, stoves, and pilot lights during shortage/outage periods.

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**ESF 3: Public Works and Engineering (Continued)**


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- ◆ **D.C. Emergency Management Agency (EMA)** – EMA will coordinate with both PEPCO and WGC in the identification of critical facilities during restoration efforts to ensure continuity of services for the District's special needs population. Priority will be given to emergency facilities such as hospitals, police districts, fire stations, etc. EMA will receive and assemble damage reports from all sources and prepare a Incident report for the CMT. The CMT will assess the impact of the emergency on present and future District operations. District agencies will execute their functions in a timely manner and notify the EOC of any degradations. In the event of agencies are impacted by a Y2K event and are operating in a contingency mode, the EOC liaison will notify the EOC of its interim processing capabilities and ability to execute its responsibilities.
- ◆ **U.S. Army Corps of Engineers (USACE)** – USACE will arrange for additional engineering and construction resources as needed to supplement the District's efforts in temporary construction of emergency access routes, including repair of damaged streets, roads, bridges, ports, waterways, and any other facility necessary for usage of rescue personnel; temporary restoration of critical public services and facilities including supply of adequate amounts of potable water, temporary restoration of water supply systems and the provision of water for fire fighting; technical assistance and damage assessment, including structural inspections, emergency demolition or stabilization of damaged structures and facilities designated by the Mayor as immediate hazards to public health or safety, or as necessary to facilitate accomplishing lifesaving operations subsequent to a public emergency declaration.

**Resource Requirements:**

- ✓ Generators
- ✓ Fuel
- ✓ Water
- ✓ Maps
- ✓ Technical Personnel
- ✓ Debris Removal equipment
- ✓ Other supplies deemed critical for infrastructure repairs

**ESF 4: Fire fighting**

**Purpose:** The purpose of this Emergency Support Function is to detect and suppress fires resulting from or occurring simultaneously with other Y2K-related emergencies. Fire fighting involves managing and coordinating fire fighting activities including the detection and suppression of fires and providing personnel, equipment, and supplies in support of fire fighting operations. Priority shall be given to saving lives and protecting property, in that order.

**Responsibility:** Detect and suppress fires

**Primary Agency:**

- **Fire & Emergency Medical Services (F&EMS)** – The F&EMS mission involves responding to Fire & Emergency Medical calls for residents, visitors, and organizations in the District, to improve the quality of life. The Department accomplishes this goal through four areas of operations:
  1. Fire Prevention – preventing fires before they occur.
  2. Fire Suppression – extinguishing fires that do occur.
  3. Emergency Medical Services – providing state-of-the-art pre-hospital emergency medical and transport services, and
  4. Support Services – which include administration, finance, communications, fleet maintenance, research and development, professional standards, management information and technology services, and the Department's training.
 F&EMS will provide a liaison to the EOC to provide F&EMS operations status.

**Supporting Agencies:**

- **Metropolitan Police Department (MPD)** – MPD will provide perimeter security during and after a fire to protect the health and safety of persons and the integrity of the fire scene.
- **D.C. Emergency Management Agency (EMA)** – EMA will coordinate with the American Red Cross to relocate persons displaced as a result of a fire.

**Resource Requirements:**

- ✓ Water
- ✓ Fuel
- ✓ Fire Suppression Equipment/Supplies
- ✓ Technical Personnel



**ESF 5: Information and Planning**

**Purpose:** The purpose of the Emergency Support Function is to collect, process and disseminate information about a potential or actual Y2K-related emergency or disaster to facilitate the overall activities of the District government in the mitigation, preparedness, response and recovery operations.

**Responsibility:** Collect, analyze and disseminate information, and develop reports and plans in order to create an overall perspective of the situation.

**Primary Agency:**

➤ **D.C. Emergency Management Agency (EMA)** – EMA has the responsibility for collecting, analyzing, processing, and coordinating the dissemination of information regarding hazard threats, emergencies, and disasters. Under the oversight of the Mayor, EMA will coordinate District assets to provide the necessary emergency assistance before, during, and after the occurrence of emergency incidents, including Y2K related system failures or disasters. EMA will execute actions to facilitate access to the Federal disaster assistance process upon depletion of District resources. EMA will coordinate with the Office of the Chief Technology Officer's (OCTO) Project Management Office (Y2K PMO) and the Mayor's Public Information Office (PIO) to disseminate relevant Y2K information to the District agencies and citizens.

In response to an incident, emergency responders will initially assess the situation to identify the need for response operations. EMA will develop a situation assessment in order to:

1. Provide a gross assessment of disaster/emergency impacts including the identification of boundaries of the damage area and distribution, type and severity of damages, including the status of critical facilities;
2. Provide a general assessment of the status of government operations; and
3. Validate the status of operating facilities.

EMA will gather and display certain critical or Essential Elements of Information (EELs) to facilitate response activities. As response operations get underway, information required by ESF 5 will be provided by the ESF's. Critical information to be reported as it develops, and information for situation reports will include the following EELs:

1. Status of transportation systems
2. Status of communications systems
3. Access points to the emergency areas
4. Status of operating facilities
5. Hazard-specific information
6. Status of critical facilities
7. Status of key personnel
8. Status of Y2K Contingency Plan activation
9. Status of emergency/disaster declaration
10. Major issues/activities of ESF's
11. Resource shortfalls
12. Overall priorities for response
13. Status of upcoming events

Each ESF's will provide a briefing and display their unique information within the Augmentation Room of the EOC, as well as provide situation reports to the EOC.

EMA will supply information to the Office of the Press Secretary for distribution of information upon direction from the Mayor. EMA will prepare situation reports for the Office of the Press Secretary for use by the Mayor, City Administrator, and other District officials. EMA and the Y2K PMO's public information function will coordinate the input required for official statements for the District to ensure consistency and clarity of information. EMA will use all modes of communication at their disposal to disseminate the required information in a timely manner.

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**ESF 5: Information and Planning (Continued)**


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**Supporting Agencies:**

- ◆ **Office of the Mayor (OM)** – The OM will be the Executive level resource ensuring the planning and the cooperative coordination of all District agencies. The OM has ultimate responsibility to ensure continuation and restoration of services from District agencies. In doing so, the OM will set minimum performance levels for agencies and business processes to ensure Y2K is the number one priority for District agencies. The Mayor's Press Secretary serves as spokesperson for the Mayor on all activities of D.C. Government agencies. EMA will coordinate the release of emergency public information concerning "consequence management" with the Press Secretary.
- ◆ **Office of Communications (OC)** – The OC will establish a Joint Information Center (JIC) to release critical information to the public and the media under the direction of the Mayor's Press Secretary.
- ◆ **Office of the City Administrator (CA)** – The CA will perform the OM's oversight and advisory functions for the information and planning facets of the District-wide response plan. The CA will chair the Executive Steering Committee, oversee the completion of all District plans, guide the strategic level direction of the Y2K project, recommend policy direction, and direct resources according to needs and potential impact on District-wide services.
- ◆ **Office of the Chief Technology Officer (OCTO)** – OCTO will direct the tactical delivery of Y2K solutions, including remediated code, upgraded applications, etc., and assist the CA to develop and direct the strategic goals of the Y2K project. OCTO will establish and maintain a Y2K Project Management Office (Y2K PMO) for the purpose of monitoring, mitigating, and correcting Y2K triggered system failures throughout District agencies. The Y2K PMO public information function will create, prepare, and disseminate information regarding technical issues of Y2K. The Y2K PMO will coordinate this information with the OM's Press Secretary to ensure consistency and clarity of information.
- ◆ **Cable TV (CATV)** – CATV will participate in planning efforts for the Y2K challenge, including active participation in the community outreach efforts of the District to ensure personal preparedness.
- ◆ **Office of Personnel (DCOP)** – DCOP will participate in planning efforts for the Y2K challenge, including active participation in the community outreach efforts of the District to ensure personal preparedness. DCOP will issue District Personnel Manual Bulletins relative to employee status during any Y2K event and status of the District Government; Open, Delayed Arrival, Closed, etc. DCOP will ensure proper coordination for this information when released to the media.
- ◆ **DC Public Schools (DCPS)** – DCPS will facilitate student awareness programs of the hazards peculiar to the District through disaster preparedness training, presentations, and communications.
- ◆ **Department of Human Services (DHS)** – DHS will provide EMA information on social service providers relative to any risk associated with any emergency involving persons who are physically and mentally challenged and youth in the juvenile justice system. DHS will plan any contingency services for these populations. The DHS Public Information Command Center (PICC) will be located in close proximity to the DHS EOC. The PICC will provide information on social services operations to EMA and the JIC; collect and analyze social services information to plan public awareness of emergencies; and produce and disseminate information to the public. PICC's express purpose is to inform DHS customers, media and the general public about social and youth services information relative to Y2K crisis.
- ◆ **Department of Health (DOH)** – The DOH will function as technical medical consultant, assist in the collection of health and medical related information and plan development, and assist in dissemination of health and medical related information to the public.
- ◆ **Department of Public Works (DPW)** – DPW will provide information as to its Y2K related failures to EMA.

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**ESF 5: Information and Planning (Continued)**


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- ♦ **Metropolitan Police Department (MPD)** – MPD will provide all pertinent information concerning police activities and emergency or emerging situations to the EMA for dissemination to city officials, the press, other agencies, and the public. Also MPD's Public Information Officer will be available to answer questions and provide information to the public. MPD will be fully mobilized for the Year 2000 transition to ensure that continued and effective police service is rendered to the community. In the event of a Y2K related emergency or problem, the MPD will work to restore stability and normal operations as quickly as possible. Beginning at 1000 hours on Friday, December 31, 1999, all personnel will work 12-hour shifts. This schedule will continue until 2200 hours on Monday, January 3, 2000. The tentative deployment scheme requires 35% and 65% of personnel to work the early and late shifts respectively. In addition, it is estimated that 500 to 700 Special Operations and Civil Disturbance Unit personnel will be needed to provide support for two major events, which are planned along Pennsylvania Avenue, NW and the Mall. Supervisory officials will ensure that all personnel under their command are fully equipped and briefed on any Y2K operational plans and other pertinent SOPs. District and unit commanders will ensure that all vehicles under their control are properly serviced and ready for all weather conditions. Civilian personnel will be utilized to staff support positions in order to allow for the maximum number of sworn personnel to be available for street duty.
- ♦ **Fire & Emergency Medical Services (F&EMS)** – F&EMS' Public Information Officer will take the lead in disseminating information to the public by way of EMA.
- ♦ **Department of Correction (DOC)** – Information releases concerning a problem or incident at a correctional institution is the primary responsibility of the DOC. DOC officials will work directly with EMA and specifically the EOC to determine what, if any, public threat is posed by an incident.
- ♦ **Department of Employment Services (DOES)** – DOES will be the lead agency for and manage all unemployment, workers', disability, and needs-based benefit payments. DOES will provide EMA information on personnel resources relative to any needs associated with any emergency; and assist EMA to plan any contingency services with these personnel resources. DOES, in cooperation with EMA, will manage issues related to the recruitment of manpower during a disaster situation and will serve as a central clearinghouse for mobilization and referral of paid and unpaid workers. DOES will activate emergency control center(s), maintain constant communication with DOES liaisons at the EOC, and provide warning of any emergency at DOES facilities or for DOES services. DOES will plan for coordination and recruitment of manpower with DCOP.
- ♦ **Department of Recreation and Parks (DCRP)** – DCRP will participate in planning efforts for the Y2K challenge, including the designation and preparation of DCRP facilities to be used as shelters during Y2K incidents. DCRP will also serve as an information outlet to the community for personal preparedness.
- ♦ **D.C. Water and Sewer Authority (WASA)** – WASA will be available in the EMA EOC to coordinate information with WASA's Command Center to restore service. WASA will collect, analyze, and disseminate information to facilitate the overall response and recovery operations to the public.
- ♦ **Department of Consumer and Regulatory Affairs (DCRA)** – DCRA will be responsible for monitoring the impact of Y2K on their systems and providing information to EMA on the status of their operations.
- ♦ **University of the District of Columbia (UDC)** – UDC will participate in planning efforts for the Y2K challenge, including coordinating volunteer programs through the use of the Student Affairs Office and the Student Government Office. UDC will facilitate student awareness programs and help in the dissemination of information to the student population, faculty, and general public community to ensure personal preparedness.
- ♦ **Office on Aging (OA)** – OA will participate in planning efforts for the Y2K challenge, including active participation in the community outreach efforts of the District to ensure personal preparedness.
- ♦ **Office of the Corporation Counsel (OCC)** – OCC will provide legal advice and take legal action for the agencies and the District of Columbia.

All mission-critical agency will log and track their actions, prepare planning reports and develop special reports describing specific actions, priorities and/or implementation of their Y2K contingency plans.

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**ESF 5: Information and Planning (Continued)**

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**Resource Requirements:**

- ✓ Transportation
- ✓ Communications
- ✓ Office Equipment (Copier, fax, typewriters, paper, pens, etc.)
- ✓ Data Processing Equipment
- ✓ Supplies (Portable televisions, portable AM/FM radios, flashlights with extra batteries, wall charts display boards)
- ✓ Maps/Overlays
- ✓ Computer Diskettes
- ✓ Ribbons
- ✓ VCR
- ✓ VCR Tapes
- ✓ Personnel

**ESF 6: Mass Care**

**Purpose:** The purpose of this Emergency Support Function is to coordinate efforts to provide sheltering, feeding and emergency first aid following a major emergency/disaster; to operate a Disaster Welfare Information (DWI) System to collect, receive, and report information about the status of victims and assist with family reunification with the impacted area; and to coordinate bulk distribution of emergency relief supplies to disaster victims.

**Responsibility:** Manage and coordinate food, shelter and first aid for victims.

**Primary Agencies:**

➤ **Department of Human Services (DHS)** – DHS will provide staff at each shelter to direct the operation of the facility. The staff will be prepared to register all shelter occupants, either individually or by family. Information on the registration form will include each occupant's health condition, any special medicines or medical equipment required, any contagious diseases, physical disabilities, or other special needs. The prescribed D.C. Chapter of the Red Cross will assist in administration of the shelter and have a supply of the registration forms. DHS will ensure that customers have proper care and food (for physically and mentally challenged persons, homeless and TANF customers). DHS will assist with emergency feeding both inside and outside of the shelter environment. DHS staff will assist in the feeding process by coordinating purchases and reimbursement for emergency food during the crisis period. DHS will provide information and planning for persons in the emergency shelters with special needs. The Oak Hill Youth Center has generators and fuel for 17-20 days. During that period, the management will arrange for secure shelters. When fuel is exhausted, the youth will be bused to secure shelters. DHS will provide D.C. Village as an emergency shelter. It is currently used for a heating center for homeless persons. DHS will ensure that its providers have medication available for customers in shelters. DHS can also authorize emergency issued food stamps and vouchers to individuals and families to purchase food on the open market.

➤ **Emergency Management Agency (EMA)** – EMA will coordinate the designation and opening of shelters with the building owner or controlling agency. EMA coordinates arrangement for bedding, cots, food, security, and other essential resources needed at shelters. EMA will consider the potential duration of a shelter opening, number of persons needing shelter, and location of an emergency when opening a shelter. EMA will coordinate the various District and Federal agencies and private groups responses to emergency feeding requirements. In addition, EMA will coordinate the use of Federal stockpiles of food through the Federal Emergency Management Agency (FEMA) if Federal assistance is deemed necessary by the CMT.

EMA will assess the situation and execute the evacuation order after consultation with adjacent jurisdictions. If the movement crosses boundaries, and the decision of the CMT is to evacuate. The evacuation routes in Appendix G will be utilized unless roads are hazardous or blocked. Alternate evacuation routes will be determined by the CMT after consultation with EMA, MPD and DPW. Citizens will be advised and prepared for the evacuation by information announcements over radio and television, and by use of the emergency broadcast system if necessary. The Mayor will direct the EMA Director to order an evacuation after the CMT has determined evacuation is the best alternative to ensure public safety. DHS will provide EMA planning information for evacuation of customers, including the elderly, persons with disabilities, and children in DHS managed buildings.

EMA has designated 21 shelters in case of major disruptions impacting citizens' safety. In coordination with the American Red Cross and the Salvation Army, EMA will provide food, cots, blankets, etc. for shelterees. If the situation warrants, EMA will request D.C. National Guard to deploy mobile feed kitchens to assist with the feeding programs.

**Supporting Agencies:**

- ◆ **DC Public Schools (DCPS)** – DCPS shall provide school facilities to be utilized as shelters for emergency sheltering operations.

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**ESF 6: Mass Care (Continued)**


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- ♦ **Metropolitan Police Department (MPD)** – MPD will provide suitable support and assistance in cooperation with the EMA and other concerned city agencies in the event that emergency shelters are established. Maintain security of emergency shelters, including control of ingress and egress in coordination with EMA. MPD will provide suitable support and assistance in cooperation with the EMA and other concerned city agencies to facilitate the delivery of emergency food and supplies in the event of a Y2K related emergency. MPD will assist in notifying the public by providing direction and support along pre-determined evacuation routes. MPD will do everything possible to ensure that any evacuation is conducted in an orderly and safe manner.
- ♦ **Fire & Emergency Medical Services (F&EMS)** – F&EMS will help with evacuation of specific locations (i.e., Metro stations, buildings, etc.) if public safety becomes an issue.
- ♦ **Department of Corrections (DOC)** – DOC will utilize internal contingency plans to provide safe and secure housing of inmates in the event an emergency requires the closure of part or all of an institution. It may be necessary to place residents in protective shelters for varying periods of time during a prison incident. The city has identified three types of facilities that have capabilities to provide shelter and complete congregate care services if needed. EMA coordinates the opening of a shelter with the building owner or controlling agency. EMA will also assist in making the arrangements for bedding, cots, food, security, and other resources needed at the shelter to be used based on the number to be housed, the location of the prison site, and the amount of time that housing will be needed.

It may be necessary to move residents away from a correction facility while a prison incident is in progress, specifically residents along 19<sup>th</sup> Street, SE, residing directly across from the D.C. Jail are at greatest risk.

1. Metropolitan Police Department – Assesses the situation and orders the evacuation of residents after consultation with Department of Corrections, EMA and other appropriate officials. May have to conduct door-to-door alerting and warning of residents to inform them of the danger. Controls the movement of the residents so that they are protected from the effects of the prison incidents.
  2. Emergency Management Agency – Consults with D.C. Public School officials, MPD and DHS to prepare to shelter persons evacuated out of the danger area.
  3. Department of Health Services – Provides assistance to the elderly, handicapped, and children who are evacuating with or without family members. Post observers and medical personnel along the route to care for those who need first aid or other assistance.
  4. Department of Recreation and Parks – Provides transportation for evacuees depending on availability of equipment. Will provide observers and “roving leaders” along the route of the evacuation to assist persons on foot and for general safety duty.
- ♦ **Department of Health (DOH)** – DOH will assist with medical supply resources when requested and as DOH inventory permits. DOH will provide general oversight of health care that is provided to shelter occupants.
  - ♦ **Department of Public Works (DPW)** – DPW will assess traffic signal operations and the physical conditions of roads for evacuations and will report this to the EMA EOC. DPW will provide transport drivers and vehicles as needed and as available.
  - ♦ **Department of Employment Services (DOES)** – DOES, site at 500 C Street, N.W. (the garage and the lobby), will be available as an emergency shelter should it be needed. DOES will, in coordination with EMA, assist in recruiting emergency manpower to work at emergency shelter sites.
  - ♦ **Office of Property Management (OPM)** – OPM’s Facilities Operations Maintenance Administration (FOMA) can provide equipment, materials, and trade persons on a reimbursable basis.
  - ♦ **Department of Recreation and Parks (DCRP)** – DCRP has a volunteer organization of approximately 1000 individuals with a variety of skills and abilities. DCRP will, at the direction of the EMA Director, mobilize its staff and volunteer organization to assist in District-wide responses. Activities may include providing transportation or operating shelter facilities. DCRP shall provide transportation and operate five shelters identified in Appendix F.

**ESF 6: Mass Care (Continued)**

- ♦ **University of the District of Columbia (UDC)** – UDC is available as an alternative site for emergency shelters. The Office of University Services will coordinate with EMA to prepare and activate designated facilities for the use of the following shelters:
  1. Firebird Inn
  2. Building 38, Student Lounge

**Resource Requirements:**

- ✓ Shelters
- ✓ Food
- ✓ Personnel
- ✓ Generators
- ✓ Security
- ✓ Cots and Blankets
- ✓ Transportation

**ESF 7: Resource Support**

**Purpose:** The purpose of this Emergency Support Function is to provide logistical/resource support following a significant Y2K-related emergency.

**Responsibility:** Provide equipment, materials, supplies and personnel to District of Columbia entities for disaster operations.

**Primary Agency:**

- **Office of Contracting and Procurement (OCP)** – OCP will coordinate with OCTO's Y2K procurement process to enable this expedited process. OCP will work directly with EMA to quickly identify sources and purchase the requisite goods as deemed necessary by the Director of EMA. OCP will structure timely vendor payments to ensure the delivery of needed goods.
- **Emergency Management Agency (EMA)** – EMA will compile reports and data on the availability or shortage of critical resources in the District that may have to be controlled by Executive Order for the duration of the Y2K emergency. EMA receives and compiles status reports from key District agencies on the availability or shortage of needed supplies and resources to alleviate the problem. EMA, the CMT, and other critical agency liaisons will work together to allocate critical resources on a priority basis. EMA serves as the central clearinghouse for coordinating District Government resources supporting emergencies and disasters. EMA will address the efforts and activities necessary to evaluate, locate, procure, and provide essential material resources for mission critical agencies.

**Supporting Agencies:**

- ◆ **Office of the Mayor (OM)** – The OM will be the Executive level resource ensuring the planning and collaborative coordination of all District agencies. The OM has ultimate responsibility to ensure continuation and restoration of services from District agencies.
- ◆ **Office of the City Administrator (CA)** – The CA will be the Office of the Mayor's oversight function for the information and planning facets of the District-wide response plan. The CA will chair the Executive Steering Committee, oversee the completion of all District plans, guide the strategic level direction of the Y2K project, recommend policy direction, and direct resources according to needs and potential impact on District-wide services.
- ◆ **Office of the Chief Technology Officer (OCTO)** – OCTO will direct the tactical delivery of Y2K solutions, including remediated code, upgraded applications, etc., and assist the Office of the City Administrator to develop and direct the strategic goals of the Y2K project. OCTO's PMO will maintain a staff of technicians to dispatch to agencies upon request for technical assistance to resolve Y2K failures. These technicians will be well versed in District IT applications and will reference agency contingency plans to determine if additional failures will result in collateral failures and resources needed throughout the agency or the District.
- ◆ **Department of Human Services (DHS)** – DHS will manage procurements with its service providers, and ensure that payments are made to providers. DHS/OFM will assist in providing EMA with resources and supplies for District-wide emergencies in concurrence with availability. DHS will fully mobilize resources to restore the operational functions of its facilities throughout the city and Oak Hill (Laurel, Maryland). DHS will activate its DHS EOC at D.C. Village to ensure continuity of DHS services.
- ◆ **Office of the Chief Financial Officer (CFO)** – CFO will be the lead agency to ensure that disbursement of District funds continues in an orderly manner, including employee pay, vendor payments and direct transfers. CFO will coordinate with OCP to ensure that unforeseen and emergency procurements of critical goods are effected as quickly as possible.
- ◆ **Department of Employment Services (DOES)** – DOES, in cooperation with EMA will manage issues related to the recruitment of manpower during a disaster situation and will serve as the central clearinghouse for mobilization and referral of paid and unpaid workers. DOES, in coordination with all other critical agency liaisons will work together to allocate critical manpower resources on a priority basis. DOES will ensure the continuation of Unemployment Benefits payments and employer tax collections, Disability and Workers' Compensation payments, Summer Youth Employment Programs, Job Training Partnership Act (JTPA) programs, and Job Services Activities.



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**ESF 7: Resource Support (Continued)**


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- ♦ **Corporation Counsel (OCC)** – OCC will provide legal advice and take legal action for the agencies and the District.
- ♦ **Office of Personnel (DCOP)** – DCOP will coordinate with agencies to identify and deploy personnel resources before, during, and after the Y2K challenge.
- ♦ **Office of Property Management (OPM)** – OPM will be mobilized during Y2K trigger dates to monitor and provide continued services to District of Columbia agencies. OPM will have available, starting December 28<sup>th</sup>, the necessary and technical personnel to provide continuous services to critical agencies. OPM's Facilities Operations Maintenance Administration (FOMA) can provide equipment, materials, and trade persons on a reimbursable basis.
- ♦ **Metropolitan Police Department (MPD)** – MPD will maintain security of disaster area (s) including ingress and egress in coordination with EMA. MPD will notify EMA of any critical resource shortfalls.
- ♦ **Department of Public Works (DPW)** – DPW will supply fuel, as needed, via fueling operations or mobile fuel trucks. DPW will also provide personnel and equipment to assist the District in any emergency response operations.
- ♦ **Fire & Emergency Medical Services (F&EMS)** – F&EMS will coordinate with EMA in managing critical resources, including notification when resources are about to be or have been depleted.
- ♦ **Department of Health (DOH)** – DOH will identify, obtain and allocate needed medical resources.
- ♦ Y2K project, recommend policy direction, and direct resources according to needs and potential impact on District-wide services.
- ♦ **Department of Recreation and Parks (DCRP)** – DCRP has a volunteer organization of approximately 1000 individuals with a variety of skills and abilities. DCRP will, at the direction of the EMA Director, mobilize its staff and volunteer organization to assist in District-wide responses. Activities may include providing transportation or operating shelter facilities.
- ♦ **University of the District of Columbia (UDC)** – UDC will serve as an information depot for student volunteers and facility shelters.

**Resource Requirements:**

- ✓ Emergency relief supplies
- ✓ Space
- ✓ Office Equipment
- ✓ Office Supplies
- ✓ Telecommunications
- ✓ Contracting Services
- ✓ Transportation Services
- ✓ Personnel

**ESF 8: Health and Medical**

**Purpose:** The purpose of this Emergency Support Function is to provide public health and medical care needs following a significant Y2K-related emergency.

**Responsibility:** Provide assistance for public health and medical care needs.

**Primary Agency:**

➤ **Department of Health (DOH)** – DOH will be the lead agency in ensuring the provision of emergency health and medical services to District residents, workers, and visitors. DOH will coordinate the health and medical response from appropriate District, Regional, Federal and private agencies. DOH will work through EMA to assist with coordination of the District's overall emergency response. DOH will be fully mobilized on designated Y2K "trigger dates" and during the Y2K transition into the new millennium to ensure the continuity of DOH services for District residents, visitors, and workers. DOH will activate the DOH Health Emergency Coordination Center (HECC) to facilitate communications with DOH providers and to assist EMA with the coordination of DOH activities. DOH coordinators will be posted at EMA's augmented Emergency Operations Center (EOC) and at other command and control sites as requested. DOH will provide input to the Information and Planning ESF on the general medical and public health response activities. The information reported will include:

1. Assessment of health and medical needs;
2. Health surveillance;
3. Medical care personnel;
4. Health and medical equipment and supplies;
5. Patient evacuation;
6. In-hospital care;
7. Food/drug/medical device safety;
8. Worker health and safety;
9. Radiological, Chemical, and Biological hazards;
10. Mental health;
11. Public health information;
12. Vector control;
13. Potable water hazards; and
14. Victim identification and mortuary services.

DOH staff will be notified of any District-wide emergency via the DOH liaison at the EMA EOC. DOH response will be initiated from the Health Emergency Coordination Center (HECC) and will provide comprehensive feedback and remain in close contact with the DOH liaison at the EOC. DOH will, in coordination with EMA manage issues related to public health and emergency medical care during the Y2K transition including monitoring hospital activities, overseeing emergency medical care, managing emergency medical resources, and public health emergencies.

**Supporting Agencies:**

- ♦ **Department of Human Services (DHS)** – DHS will report any health and medical problems and/or risks with its customers. If any health and medical problems arise, or there is a shortage of medication, Oak Hill management will notify the courts, families, social workers, and the Metropolitan Police Department. DHS at Oak Hill will provide health and medical services to its Oak Hill youth population, and will ensure appropriate medical services for DHS customers. DHS Oak Hill Youth Center have, and will have in an emergency situation, physicians 24 hours a day, 7 days a week on site. DHS will be the lead agency for establishing "field assistance centers" away from any impact areas, and will provide EMA information and planning on problems with food, shelter, financial assistance and TANF payments. DHS will ensure that its MRDDA and RSA service providers report any major health and medical problems, and/or risks with customers in their care.
- ♦ **Commission on Mental Health Services (CMHS)** – CMHS will ensure its infrastructure is capable of supporting continued patient care and movement as well as psychiatric care for District residents, workers and visitors.

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**ESF 8: Health and Medical (Continued)**


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- ♦ **Fire & Emergency Medical Services (F&EMS)** – The F&EMS Chief, or designee, will coordinate with the DOH to report to the EMA EOC the capacity and capability of hospital emergency rooms. F&EMS will provide pre-hospital care and transport during emergencies. F&EMS will respond to emergency medical calls for residents, visitors, and organization in the District. F&EMS will provide state-of-the-art pre-hospital emergency medical transport services. F&EMS also serves as the Emergency 911 backup location for MPD and once staffed by MPD, is capable of receiving and dispatching incoming emergency phone calls.
- ♦ **Metropolitan Police Department (MPD)** – MPD is the primary Emergency 911 center for receiving and dispatching of incoming emergency telephone calls.
- ♦ **D.C. Health & Hospitals Public Benefit Corporation (PBC)** – The PBC will provide first aid and emergency care for victims. The PBC will provide hospital, in-out patient treatment, and pharmacy services to the District citizens. PBC will ensure its infrastructure is capable of supporting continued patient care.
- ♦ **Department of Public Works (DPW)** – DPW will assist in the transport of dialysis patients.
- ♦ **Department of Corrections (DOC)** – In some prison incidents, casualties are caused by inmates fighting among themselves or by the use of force by correctional officers in self-defense during riot conditions. The prison infirmary is able to handle non-critical cases of minor or non-life threatening injuries. If the medical diagnosis permits, the injured can be transported to D.C. General Hospital for treatment. Critical cases in Lorton can be brought to the facility at Ft. Belvoir for emergency treatment when time is of the essence. The Department of Health Services prepares to activate the Medical Command Post if it appears that there will be mass casualties resulting from the prison incident, or if it appears the incident will be a long-term operation involving hostages, reports of injured people, and threats by the inmates to do harm to large numbers of people. DOC will alert the hospitals to the possibility of mass casualties arriving because of the incident.
- ♦ **Department of Employment Services (DOES)** – DOES will assist, as needed, in recruiting emergency manpower to assist in a public health emergency.
- ♦ **Child Family Services (CFS)** – CFS will ensure children whom are in adoptive care and foster care placements, and experience disruption of services, will continue to receive food, shelter, and first aid. CFS will ensure that there will be no disruption of services to children who are in adoptive care and in foster care placement.
- ♦ **Office of the Chief Technology Officer (OCTO)** – The Y2K PMO will work closely with the providers of health and medical services in the District to ensure delivery of services and address Y2K failures in a timely manner to minimize service disruptions.
- ♦ **D.C. National Guard (DCNG)** – DCNG will provide, upon a public emergency declaration, provide mobile medical personnel and equipment.

**Resource Requirements:**

- ✓ Medical Response Personnel
- ✓ Medical Supplies and Equipment
- ✓ Transportation
- ✓ Communications Systems Support
- ✓ Logistical and Administrative Support.
- ✓ Maps

**ESF 9: Urban Search and Rescue**

**Purpose:** The purpose of this Emergency Support Function is to describe the use of Urban Search and Rescue assets including the activation of Mutual Aid Agreement with surrounding jurisdictions for Urban Search and Rescue equipment and personnel, such as search dog teams and specialized equipment and operators.

**Responsibility:** Locate, extricate and provide for immediate medical treatment to victims trapped in collapsed structures.

**Primary Agency:**

- **Fire & Emergency Medical Services (F&EMS)** – F&EMS will coordinate the search and rescue operations and the use of rescue and extrication resources during disasters. The F&EMS Urban Search and Rescue team is dispatched with Fire & Emergency Medical units to incidents involving search and rescue efforts. The Fire & Emergency Medical units will provide on-scene pre-hospital emergency medical care.

**Supporting Agencies:**

- ◆ **Metropolitan Police Department (MPD)** – MPD will maintain security of emergency/disaster areas including ingress and egress in coordination with EMA. MPD will assist F&EMS in search and rescue operations during emergencies on land and in Potomac River waterways within the District.
- ◆ **Department of Public Works (DPW)** – DPW will assist F&EMS in urban search and rescue operations and secure public spaces to protect safety.
- ◆ **Department of Consumer and Regulatory Affairs (DCRA)** – DCRA will provide information and building plans for unsafe or collapsed structures to the extent that such information is available and plans exist.
- ◆ **Department of Health (DOH)** – DOH will provide assistance in managing human remains including victims identification and disposition.

**Resource Requirements:**

- ✓ Heavy Debris Removal Equipment and Operators
- ✓ Search Dog Teams
- ✓ Medical Response Personnel
- ✓ Medical Supplies and Equipment
- ✓ Transportation
- ✓ Communications Systems Support
- ✓ Maps

**ESF 10: Hazardous Materials**

**Purpose:** The purpose of this Emergency Support Function is to provide a coordinated response to actual or potential discharges and/or releases of hazardous materials for the assessment, mitigate, monitor, cleanup and disposal of hazardous materials released into the environment.

**Responsibility:** Provide response to actual or potential releases of oil and hazardous materials incidents.

**Primary Agency:**

- **Fire & Emergency Medical Services (F&EMS)** – F&EMS will maintain the protection of life and property from fire hazards in disaster situations with emphasis on incidents involving the release of hazardous materials. Additionally, F&EMS will provide emergency medical care to victims affected by chemicals or biological contaminants, including patient decontamination prior to transport to a hospital emergency department.

**Supporting Agencies:**

- ◆ **Metropolitan Police Department (MPD)** – MPD will provide perimeter security to protect life and property from hazardous material accidents. If necessary, MPD will conduct door-to-door warnings in an area impacted by a hazardous material accident.
- ◆ **Department of Health (DOH)** – DOH will provide technical assistance on the health and medical impact of hazardous materials and determine appropriate care for victims. DOH will provide public information to the public about self-protection. DOH will assist the Environmental Health Administration in assessing environmental damage and assisting in cleanup and recovery planning (e.g., toxic substance, air quality, and water quality).
- ◆ **Department of Public Works (DPW)** – DPW will assist in the mitigation and removal of hazardous materials using a contractor.
- ◆ **U.S. Environment Protection Agency (EPA)** – EPA will provide technical, integrate and manage the overall Federal effort to detect, identify, contain, clean up, or dispose of or minimize releases of oil or hazardous substances, or prevent, mitigate, or minimize the threat of potential releases.
- ◆ **Department of Employment Services /Occupational Safety and Health Administration (OSHA)** – OSHA will inspect sites and recommend abatement of hazardous conditions that arise.
- ◆ **U.S. Coast Guard (USCG)** – USCG will provide technical assistance and response efforts on the waterways.

**Resource Requirements**

- ✓ Personnel
- ✓ Communications Systems
- ✓ Equipment (Sampling/monitoring/detection equipment)
- ✓ Mobile Command Center
- ✓ Temporary Storage facilities
- ✓ Contracting Services
- ✓ Personal and Protective Equipment such as self-contained breathing apparatus, oil and chemical resistant outer clothing, safety boots, hard hats

**ESF 11: Food**

**Purpose:** The purpose of this Emergency Support Function is to identify, secure, and arrange for the transportation of food assistance to affected areas to include shelters.

**Responsibility:** Manage and coordinate food.

**Primary Agencies:**

- **American Red Cross (ARC)** – ARC will identify and assess the requirements for food and distribution services on a two-phase basis: critical emergency needs immediately after the disaster, and longer-term sustained after the emergency phase is terminated. ARC will establish mass feeding or field operations at safe locations to accommodate District employees, police and disaster workers who must remain on their tour of duty for extended periods.
- **Department of Human Services (DHS)** – DHS will assist with emergency feeding both inside and outside of the shelter environment. DHS staff will assist in the feeding process by coordinating purchases and reimbursement for emergency food during the crisis period. DHS can also authorize emergency issued food stamps and vouchers to its eligible customers and families to purchase food on the open market.
- **Emergency Management Agency (EMA)** – EMA will coordinate the various District and Federal agencies and private groups responses to emergency feeding requirements, to include community food banks. In addition, EMA will coordinate the use of Federal stockpiles of food through the Federal Emergency Management Agency (FEMA) if Federal assistance is deemed necessary by the CMT. EMA, will in coordination with the DHS, American Red Cross, Salvation Army, and other sources of information, determine the critical needs of the affected population in terms of numbers of people, their location and usable food preparation facilities for congregate feeding.

**Supporting Agencies:**

- ◆ **Department of Employment Services (DOES)** – DOES in coordination with EMA will assist in recruiting emergency manpower to assist in emergency feeding requirements and the delivery of emergency food and supplies.
- ◆ **Department of Health (DOH)** – DOH will monitor the emergency food assistance program to ensure that the food is transported, stored, handled, prepared, and served in accordance with safe food practices.
- ◆ **Department of Recreation and Parks (DCRP)** – DCRP has a volunteer organization of approximately 1000 individuals with a variety of skills and abilities. DCRP will, at the direction of the EMA Director, mobilize its staff and volunteer organization to assist in District-wide responses. Activities may include providing transportation or operating shelter facilities.
- ◆ **Commission on Mental Health Services (CMHS)** – CMHS will provide bag meals in emergency situations up to a maximum of five hundred (500) per day for a period of three (3) days, e.g., December 28, 1999 – January 3, 2000. A three (3) hour lead time will be required for preparation of the meals.
- ◆ **D.C. National Guard (DCNG)** – DCNG will provide, upon public emergency declaration, mobile feeding facilities and personnel.

**Resource Requirements:**

- ✓ Food Supplies (Within the District of Columbia)
- ✓ Food Supplies for immediate procurement
- ✓ Transportation Resources (Truck, rail, air and sea resources for the transportation of food, including refrigeration and cold storage capacity)

**ESF 12: Energy**

**Purpose:** The purpose of this Emergency Support Function is to facilitate restoration of energy systems following a significant event. Power and fuel are critical to save lives and protect health, safety, and property.

**Responsibility:** Restore systems and fuel supplies.

**Primary Agency:**

- **Office of Property Management (OPM)** – OPM will provide data on the availability or shortage of fuel oil in the District that may cause disruptions of service to agencies. OPM will provide a daily consumption break down by agency, of fuel and water.

**Supporting Agencies:**

- ♦ **Department of Public Works (DPW)** – DPW will provide fuel supplies as needed.
- ♦ **Department of Human Services (DHS)** – DHS will inform both OPM and EMA if it is out of fuel.
- ♦ **Potomac Electric Power Company (PEPCO)** – PEPCO will provide electrical services to the public and businesses of the District. PEPCO will provide a liaison to the EOC to ensure the effective operation of its communications and coordination efforts during Y2K-related emergencies, specifically monitoring the power grid and its impact on the District. PEPCO will provide operational/restoration information reports on response activities to the EOC. Additionally, PEPCO will assist EMA in preparing an impact statement outlining the effects of a long-term power outage or government operations, as well as the threat to the health, welfare, and safety of citizens in the affected areas.
- ♦ **Washington Gas Company (WGC)** – WGC will provide a liaison to the EOC to ensure the effective operation of its communications and coordination efforts during Y2K-related emergencies. WGC will provide information on restoration efforts, the areas effected by a gas shortage/outage, and the effects of a long-term outage on government operations and the threat to the health and welfare, and safety of citizens. Also, WGC will provide assistance to EMA in issuing statements concerning a natural gas shortage or outage situation, and safety tips and instructions on gas appliances, furnaces, stoves, and pilot lights during shortage/outage periods.

**Resource Requirements:**

- ✓ Personnel
- ✓ Communications
- ✓ Operating Facilities (With back-up power systems)
- ✓ Maps
- ✓ Equipment
- ✓ Transportation

**ESF 13: Law Enforcement (No FRP ESF corresponds)**

**Purpose:** The Purpose of this Emergency Support Function is to provide for the safety of citizens and security of property during incidents requiring intervention by law enforcement authorities.

**Responsibility:** Provides protection for persons and property.

**Primary Agency:**

➤ **Metropolitan Police Department (MPD)** – MPD will be in direct liaison with the Emergency Management Agency (EMA) and other city agencies via the Emergency Operations Center (EOC) in order to coordinate inter-agency responses to any emergencies that may arise. MPD will keep the EMA apprised of police operations with regular status reports. All emergency police responses for major incidents or other critical situations shall be coordinated through the MPD Operations Command Center that will be activated effective December 28, 1999. MPD will be responsible for the delivery of both emergency and non-emergency police service to the public. The entire department will be fully mobilized to ensure a continuity of service and effective police response in the event of an emergency or other critical situation. MPD will coordinate its efforts with the EMA and other city agencies via the EOC. In addition to standing internal SOPs, MPD will be in contact with other city, local, and federal police agencies to ensure that the safety of the public is not compromised by domestic or foreign terrorist threats or acts.

**Supporting Agencies:**

- ♦ **Department of Corrections (DOC)** – DOC will direct operations inside the institution effected by Y2K exposures. DOC will coordinate all actions necessary to resolve the problem and restore the institution to "normal operations." DOC will coordinate with MPD and Fairfax County Officials during operations outside of the facility.
  1. **Metropolitan Police Department** – Has primary responsibility for public safety outside of prison facilities in the District of Columbia. Controls traffic in the vicinity of the incident and coordinates public operations with other police forces operating during an emergency. Maintains perimeter security.
  2. **D.C. National Guard** – Prepares to support the MPD by providing backup personnel for MPD if the response to prison problems is depleting MPD personnel. Use of DCNG personnel will be cleared by EMA.
- ♦ **Corporation Counsel (OCC)** – OCC will provide legal advice and take legal action for the agencies and the District.
- ♦ **Department of Human Services (DHS)** – DHS will take security control of the Oak Hill Youth Center.
- ♦ **Department of Public Works (DPW)** – DPW will assist MPD and EMA via communication and contact with the Emergency Coordinator in DPW and respond at the PSA level.
- ♦ **DC Housing Authority (DCHA)** – DCHA will assist the MPD to deliver law enforcement capabilities to the District citizens, businesses, and visitors. Utilizing the law enforcement capabilities of DCHA's security personnel, DCHA will coordinate with MPD to ensure public safety at District housing sites specifically and the District population in general.
- ♦ **Fire & Emergency Medical Services (F&EMS)** – F&EMS is the primary agency for the Fire Investigation Team and a member of the DC Arson Task force, including MPD and ATF.
- ♦ **Department of Recreation and Parks (DCRP)** – DCRP has Youth Intervention Specialists to assist in non-violent crowd control. Specialists are trained in Non-confrontational "soft security."
- ♦ **Office of Property Management (OPM)** – OPM's Protective Service could provide some police services in support of MPD.
- ♦ **D.C. National Guard (DCNG)** – DCNG will provide manpower to MPD to assist in management of the designated 142 critical intersections in the city. DCNG will also provide manpower for each fire station and other strategic locations for security purposes.



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**ESF 13: Law Enforcement (Continued)**

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**Resource Requirements:**

- ✓ Generators
- ✓ Fuel
- ✓ Water
- ✓ Transportation
- ✓ Personnel
- ✓ Food

**ESF 14: Information Technology (No FRP ESF Corresponds)**

**Purpose:** The purpose of this Emergency Support Function is to facilitate efficient responses to incidents directly or indirectly related to failures of systems, embedded microprocessors, etc.

**Responsibility:** Collect, analyze and disseminate information, and develop plans, to facilitate the overall District of Columbia mitigation, preparedness, response, and recovery operations for technological infrastructure and applications.

**Primary Agency:**

- **Office of the Chief Technology Officer (OCTO)** – OCTO will establish and maintain a Y2K Project Management Office (Y2K PMO) for the purpose of monitoring, mitigating, and correcting Y2K triggered system failures throughout District agencies. OCTO will have liaisons at the EMA EOC that will interface with the Y2K PMO to update the EOC or initiate a District-wide response capability via notification to the EOC. OCTO will be responsible for the establishment of a Y2K Project Management Office (Y2K PMO) to monitor the technological infrastructure and applications of the District. This Y2K PMO will be responsible for receiving input from agency technicians, dispatching appropriate assistance, and communicating significant incidents to the OCTO liaison present in the EOC for action by other agencies to mitigate problems and eliminate further occurrences.
- **Emergency Management Agency (EMA)** – EMA is the central information clearinghouse for the District. EMA has the responsibility for collecting, analyzing, processing, and coordinating the dissemination of information regarding hazard threats, emergencies, and disasters. Under the oversight of the Mayor, EMA will coordinate District assets to provide the necessary emergency assistance before, during, and after the occurrence of emergency incidents, including Y2K related system failures or disasters. EMA will execute actions to facilitate access to the Federal disaster assistance process upon depletion of District resources. EMA will serve as the focal point for all external feeds of information relative to domestic and international Y2K challenges such as FEMA, the United States Department of State, Agency for International Development, and the CIA. Information will be consolidated by EMA personnel and disseminated through the EOC's Augmentation room via briefings to agency liaisons. EMA will be responsible for monitoring the impact of Y2K on its internal systems and delivering a status report to the PMO in a proactive manner. EMA will provide communication links to the District for the PMO if broadcast announcements are needed to address Y2K emergencies. EMA will work directly with Bell Atlantic to ensure telecommunications systems remain functional. Communication of failure incidents will utilize the telecommunications infrastructure or 800 MHz radio system to link the EOC, Y2K PMO, and individual agencies.

**Supporting Agencies:**

- **Office of the Mayor (OM)** – The OM will be the Executive level resource ensuring the planning and collaboration coordination of all District agencies. The OM has ultimate responsibility to ensure continuation and restoration of services from District agencies.
- **Office of the City Administrator (CA)** – The CA will ensure proper channels of communication and monitoring systems are identified and established by OCTO and EMA that will allow comprehensive monitoring of IT systems, non IT assets, and end user computing equipment in the District, nationwide, and world-wide.
- **Metropolitan Police Department (MPD)** – MPD will perform systems checks of communication equipment and report problems to the OCTO Y2K PMO and EMA EOC. Most of MPD's IT systems are currently Y2K compliant, and all mission critical systems will be updated or replaced by the end of the year. Non-IT items such as vehicles and portable radios are unaffected by Y2K related problems. The MPD radio communications system is heavily dependent upon outside systems such as telephone and electrical service, which if not Y2K-ready, could cause major disruptions in police communications. MPD, in conjunction with the EMA and other city agencies, will closely monitor the efforts of the major utilities in ensuring that their systems are Y2K-ready.
- **Fire & Emergency Medical Services (F&EMS)** – F&EMS will perform systems functionality tests of fire and medical equipment prior to and shortly after the rollover and report problems to the OCTO Y2K PMO and EMA EOC.

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**ESF 14: Information Technology (Continued)**


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- ♦ **Department of Corrections (DOC)** – The Grimke Building will serve as the internal information clearinghouse for information relative to Y2K failures in correctional institutions. DOC will monitor the impact of Y2K on its internal systems and deliver a status report to the EOC in a proactive manner.
- ♦ **Department of Public Works (DPW)** – The Office of Information and Telecommunication Systems (OITS) of DPW will monitor the impact of Y2K on its internal systems. All OITS personnel leave will be suspended a week before and a week after January 1, 2000 to assure full staff coverage. DPW/OITS will report Y2K emergencies to EMA.
- ♦ **Department of Health (DOH)** – The management of DOH related Y2K technology issues is the responsibility of the State Center for Health Statistics (SCHS), Health Information and Business Systems Division which can be reached through the Health Emergency Coordination Center. The DOH liaison at the EOC will be tasked with transmitting information received via EMA briefings to SCHS.
- ♦ **Department of Human Services (DHS)** – DHS Office of Information Systems (OIS) will maintain and monitor its electronic data systems that support the administration of Federal and District subsidized programs and services. DHS/OIS will monitor eligibility determination and benefit issuance for cash assistance, food stamps, medical assistance, food acquisitions systems, and related systems that track court appearances that are court mandated.
- ♦ **Office of Contracting and Procurement (OCP)** – OCP will monitor its systems for potential Y2K failures. If a failure occurs, OCP will revert to manual processing to assist the agencies with their requirements.
- ♦ **Office of the Chief Financial Officer (CFO)** – CFO is responsible for monitoring the continued and normal operations of the SHARE Data Processing Center for normal financial operations.
- ♦ **Department of Employment Services (DOES)** – DOES will be responsible for monitoring the impact of Y2K on its systems and updating EMA on their status and any emergencies.
- ♦ **Water and Sewer Authority (WASA)** – WASA will provide to the public, distribution of potable water, the collection of wastewater and storm water, the delivery of wastewater to the wastewater treatment facility, and the treatment of wastewater. During district-wide emergencies, WASA will be available in the EMA EOC to coordinate information with WASA's command center to restore service.
- ♦ **Department of Consumer and Regulatory Affairs (DCRA)** – DCRA will be responsible for monitoring the impact of Y2K on its systems and updating EMA and OCTO on their status.
- ♦ **D.C. Health & Hospitals Public Benefit Corporation (PBC)** – PBC will ensure its infrastructure is capable of supporting continued patient care.
- ♦ **DC Public Schools (DCPS)** – DCPS will monitor its systems for potential Y2K failures.
- ♦ **DC Lottery Board (DCLB)** – DCLB will monitor its systems for potential Y2K failures.
- ♦ **Office of Personnel (DCOP)** – DCOP will monitor its systems for potential Y2K failures.
- ♦ **Office of Cable and Television (CATV)** – CATV will monitor its systems for potential Y2K failures.
- ♦ **Child and Family Services (CFS)** – CFS will monitor its systems for potential Y2K failures.
- ♦ **Commission on Mental Health Services (CMHS)** – CMHS will monitor its systems for potential Y2K failures.
- ♦ **Office of Property Management (OPM)** – OPM will monitor its systems for potential Y2K failures.
- ♦ **University of the District of Columbia (UDC)** – UDC will monitor its systems for potential Y2K failures.
- ♦ **Department of Recreation and Parks (DCRP)** – DCRP will monitor its systems for potential Y2K failures.
- ♦ **DC Housing Authority (DCHA)** – DCHA will monitor its systems for potential Y2K failures.

**Resource Requirements:**

- ✓ Personnel/Technician
- ✓ Transportation
- ✓ Fuel
- ✓ Funding

## V. Administration and Logistics

### A. Reports and Records

The EOC Emergency Support Function (ESF) Teams will deliver Situation Briefings every four (4) hours or at prescribed intervals as directed by the lead EMA Operations staff member, typically the Operations Chief or Deputy Chief. The EOC staff will consolidate the pertinent data from these Situation Briefings into an EMA EOC Situation Report (SitRep) for dissemination to all EOC liaisons and their agencies. SitReps will be developed using a desktop word processing software package. The SitRep will be communicated to the EMA Director, Office of the Mayor, Office of the City Administrator, and the entire Consequence Management Team to ensure full communication and understanding of details surrounding Y2K impacts at the specified time. The Emergency Information System (EIS) will be used to log all incident tracking data.

EMA will utilize the ESF Situation Briefings and the Situation Reports to generate status reports for the Federal Information Collection Center's (ICC) Information Collection Reporting System (ICRS). EMA will submit the ICRS required data every six (6) hours using the Internet and supplied software package. The EOC staff and agency liaisons will review information provided by the ICC's ICRS to identify potential impacts in the District.

EMA will be responsible for completing an After Action Report on the impacts of Y2K to critical District services that impacted or could have impacted public safety and well-being. The information contained in the report should be incorporated into the planning efforts for the Leap Year Rollover and subsequent catastrophic technological failures in the District.

### B. Resources

EMA personnel and agency liaisons will execute the responsibilities and duties associated with Annex O during a Y2K infrastructure disruption. To accomplish this task, agencies are categorized according to the Federal Response Plan's designation of Emergency Support Functions (ESF) and have committed resources to these ESF Teams. This grouping method will facilitate an enhanced team environment within the Emergency Operations Center during an augmentation period. Additionally, each ESF Team has a primary agency tasked with coordinating the supporting agencies' roles and duties to effectively and efficiently respond to an incident requiring that ESF's resources. However, all District agencies will be responsible for the execution of their respective contingency plans in the event of a failure. Each agency will continue to execute its primary mission of delivering services or products to District residents, visitors, and businesses. Annex O will rely on the agencies' abilities to deliver these services or products during a Y2K failure as the underlying asset supporting the execution of a District-wide response.

### C. Training

Training for Annex O and Emergency Operations for EMA staff, agency liaisons, the Consequence Management Team, and Cabinet level officials will be conducted to ensure all personnel are capable of activating and implementing the Annex if a Y2K infrastructure disruption occurs. EMA will be the coordinating agency that ensures the delivery of training is completed prior to the scheduled augmentation period beginning December 28, 1999. All appropriate District personnel will receive the following training:

- New procedures and policies for the Emergency Operations Center
- The role of Emergency Support Functions (ESF) as defined by the Federal Response Plan
- The role of ESFs in the District's emergency response preparedness
- The relationship of the ESF structure in Annex O.

The current schedule for training and exercises is as follows:

- November 10, 1999 Internal EMA Operations Training
- November 17, 1999 Agency Liaison Operations and Annex O Training
- November 18, 1999 Finance, Revenue & Budget Panel Tabletop Exercise
- November 19, 1999 Public Information Panel Tabletop Exercise
- November 19, 1999 Public Safety Panel Tabletop Exercise
- November 19, 1999 Health and Medical Panel Tabletop Exercise
- December 8, 1999 District-wide Drill

#### **D. Identification (Badges)**

The assignment and distribution of identification materials and credentials will be distributed during the month of December to avoid potential counterfeiting opportunities. The identification procedure will not be outlined in this document, and EMA will coordinate with DCOP to carry out this responsibility in a logical and closely managed process. Identification materials and credentials will be used by District personnel to gain access to certain facilities or areas that may be restricted during the Y2K period.

### **VI. Plan Development and Maintenance**

#### **A. Authorities**

As Annex O is a combined effort of various agencies, the authority to amend the document lies with the agencies. However, version control must be exercised, and as such, the EMA Director, or appropriate designee, is the ultimate authority to document and implement the changes as offered by agencies.

Annex O will be a controlled document as part of the District's EOP and distribution of revised versions will be the responsibility of EMA. Outdated versions of Annex O must be collected and destroyed by EMA so that only the most recent version is in circulation.

#### **B. References**

1. FEMA. The Federal Response Plan, Operations Supplement, Year-2000 Conversion, April 15, 1999
2. FEMA. Contingency Planning and Consequence Management for Year 2000 Conversion, February, 1999.
3. Worldwide Web Listings.
  - a. <http://www.y2k.gov/>: The President's Council on Year 2000 Conversion.
  - b. <http://www.fema.gov/>: Federal Emergency Management Agency.
  - c. <http://www.itpolicy.gsa.gov/>: Federal Office of Information Technology.
  - d. <http://www.usfa.fema.gov/>: The National Fire Data Center.
  - e. <http://www.year2000.com/>: Year 2000 Information Center.
  - f. <http://www.co.mo.md.us/>: Montgomery County Contingency Plan Guidelines.
  - g. <http://www.dps.state.mn.us/>: State of Minnesota, Y2K and Emergency Management Information for Community Preparedness.
  - h. <http://www.nemaweb.media3.net/>: National Emergency Management Association.
  - i. <http://www.iaem.com/>: International Association of Emergency Managers.

## VII. Definitions, Abbreviations, and Acronyms

Ready: Those IT systems and embedded devices that have been tested successfully to recognize dates in the Year-2000 and beyond, and have proven to produce accurate results in processing transactions involving dates beginning January 1, 2000.

Conversion: The process of determining requirements for planning and implementing hardware or software modifications to ensure compliance with Y2K technical standards.

Critical Entities: Those functions of or services provided by DC agencies, or local jurisdictions that have the potential to adversely impact life, property, and public health or safety.

Embedded Systems: Any device or related series of devices that are installed within or form a component of a larger equipment end-item, are critical to the accurate or proper functioning of the end-item, and which recognize, process, or regulate date and time functions. Also known as *Programmable Logic Controllers (PLCs)*.

Information Technology (IT): The application of automated or electronic means to acquire, analyze, and manipulate data to produce a pre-defined or designed result.

Transition: The process of reintroducing updated or renovated software code to a production environment. This includes merging any production source code changes with Y2K-ready renovated code.

Year-2000 (Y2K): An all-inclusive term that generally relates to computational challenges automated IT systems and equipment encounter as the result of trigger dates that impact computational functions within those systems or equipment. Y2K is primarily thought of as the Millennium rollover from December 31, 1999 to January 1, 2000. However, the Y2K challenge is a multitude of trigger dates that are a threat to the continued stable operation of automated systems because of the date sensitivity inherent in calculations at risk.

**Appendix A  
EOC Augmentation Schedules**

**(See attached pages for Millennium and Leap Year Rollover Schedules)**

[illegible]

\* Shift Hours: A - 2300 hours to 0800 hours

**B - 0730 hours to 1600 hours**

**B - 0730 hours to 1600 hours**  
**C - 1530 hours to 2400 hours**

C - 1530 hours to 2400 Annex O - Infrastructure Disruptions



[illegible]

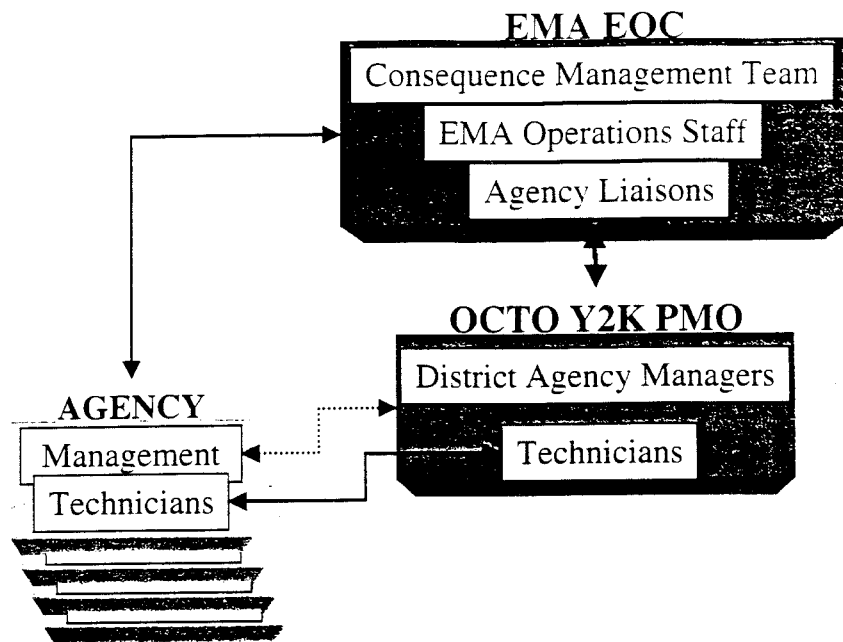
\* Shift Hours: A - 2300 hours to 0800 hours

**B - 0730 hours to 1600 hours**

**C - 1530 hours to 2400 hours**

### C - 1530 hours to 2400 Annex O - Infrastructure Disruptions

Appendix B  
Command Structure



### Appendix C Communications Plan

The mission of the EMA Telecommunications Division in the EOC is as follows:

1. To plan, provide, operate and maintain a Radio System to support operational requirements of the EMA.
2. To operate and maintain an emergency radio and telephone warning system in support of National Emergency Operations.
3. To plan, operate and maintain adequate telephone systems in support of normal and emergency operational requirements of the EMA.
4. Plan and maintain the internal monitoring system in support of the operational requirements of EMA.

The basic responsibility for accomplishment of the mission is assigned to the Chief Telecommunications Division. Direct supervision and responsibility for day-to-day operations lies with the EMA Operations Chief.

#### A. Operational Radio Systems

1. The Telecommunications Chief will assure the 24-hour effectiveness of the Operational Radio 800 MHz Network and the back up 45 MHz system. Effectiveness includes adequate maintenance of all associated equipment; continued training of assigned communications section personnel and supervision of radio procedures used by other persons operating in the network.
2. The responsibility of the "DC Control" station is to exercise continuous control over the radio talk groups and frequencies of the EMA radio networks. This activity involves the following functions.
  - ✓ Control of Mobile equipment going in (10/8) or out (10/7) of service. The net control operator will maintain a complete record on the status of Mobiles at all times.
  - ✓ The net control operator will be responsible for the complete passage of messages coming to him via the radio system. These messages may be passed on utilizing either radio, telephone or message form. A Communication Log will be maintained on these activities.
  - ✓ The net control operator will control the direct contact between other stations in the EMA radio network and has authority to deny such contact in favor of priority traffic.
  - ✓ The net control operator will supervise procedures utilized by other operators within the network. He will conduct "off the air" training of other operators either by telephone or in person when he can do so without leaving his post. He will report chronic violators to the Communications Officer indicating the nature of the problem.
  - ✓ The net control operator will assist the Operations Group, where possible, but not at the expense of his own mission to control communications systems.

#### B. 800 MHz Radio Communications

1. The radio system in the EOC has been established to provide a 24-hour communication capability for the EMA Director, and other agency officials to support executive actions on a normal day-to-day basis as well as emergency situations. The system is divided into talk groups supporting agencies throughout the city.
2. The EMA operations talk group shall be used for routine day-to-day operations. The Tactical #1 group shall be used for emergency operations during crisis situations. This system may be used to support the EMA Director and other D.C. and Federal agency heads with supporting elements working within in the EOC during emergencies, crisis, major special events and training.

3. The Executive #1 talk group supports the top level city executives on a day-to-day basis as well as serving as an executive network during emergency operations. This talk group may be used in the secure mode for high level confidential secure conversations.
4. The basic radio system consists of an eight-channel, four-site simulcast 800 MHz trunked network, base-stations, remote control units for base stations, receivers, mobile units, and portable units.
  - ✓ Fixed Transceiver Site Locations
    - 9<sup>th</sup> & Peabody Street NW
    - 5901 East Capitol Street, SE
    - Old Anacostia Naval Air Station, 12<sup>th</sup> & Robinson Pl. SE
    - Georgetown Hospital 5700 Reservoir Road, NW
  - ✓ Remote Console units may be positioned in other agency dispatch or operating locations for communications with talk groups within their agency or the EMA EOC radio dispatcher in emergencies.
  - ✓ Mobile Units authorized on the system include all official EMA vehicles, selected EMA staff members private vehicles, other D.C. Agency official vehicles, vehicles of the Executive Office of the Mayor, Agency Head's and Volunteer support personnel as required. All mobile units will operate on preprogrammed talk groups.
  - ✓ Portable Units authorized on the system include units permanently assigned to agencies, officials authorized volunteer support personnel and units on stand by in the EMA EOC. Portable units will operate on preprogrammed talk groups.
5. Extension of System: The Executive #1 talk group serves as the Command and Control Group for the Mayor's Office and may be extended into other talk groups by the EMA radio dispatcher. This function is primarily accomplished by cross patching talk groups within the system.
6. Consoles may be installed in agencies as required in support of their missions. The consoles shall be programmed only on the approved talk groups that have been authorized by the EMA 800 MHz system manager/EMA Telecommunications Chief.
7. Radio communication system talk groups have been pre-assigned to each agency to provide for operations within the agency. The radio transceiver assigned to the director of the agency has a pre-assigned Executive # 1 talk group programmed to support an interface with other top level city executives on a day-to-day basis as well as an executive network during emergency operations.
8. Inter-agency radio communications/operation is controlled by the EMA Emergency Operations Center, Radio Dispatcher. No interoperation will be permitted without the approval and coordination of the EMA Dispatcher.

**C. 800 MHz Trunked Radio Communications System Talk Groups**

Talk groups have been preprogrammed into the radio units based upon the requirement of the using agency. It should be noted that not all radios within the agency may have all talk groups programmed into them. Each radio will have a District-wide group preprogrammed into it. This talk group shall only be used as directed by the EMA Control Dispatcher or in case of an emergency. The following talk groups have been provided for use by DC Government Agencies:

## Talk Group Names and Definitions

Number	Name	Definition
<b>COMMON TALK GROUPS</b>		
1	EXEC2	Executive 2: day-to-day use by second level city executives
2	CTYWD1	City-wide 1: for use by all city agencies (when directed) for interagency coordination
3	CTYWD2	City-wide 2: for use by all city agencies (when directed) for interagency coordination
4	PATCH	Talk Group for use (when directed) to patch users to Talk Groups not in radios
	COORD	Talk Group for coordination with other system users that are not Fire Department users
5	ANALG1	Analog Talk Group 1 for original radio pool
6	ANALG2	Analog Talk Group 2 for original radio pool
7	DYNRGP	Dynamic Regroup
<b>EMERGENCY MANAGEMENT AGENCY (EMA)</b>		
8	EXEC1	Executive 1: day-to-day use of top level city executives
9	LEG	Legislative: day-to-day use of City Council personnel/offices and staff vehicle drivers
10	OPS	Operations: day-to-day activity of EMA staff
11	TAC1	Tactical 1: first activity/incident "hand-off" Talk Group, used as required
12	TAC2	Tactical 2: activity/incident "hand-off" Talk Group, used as required
	FDOEP1	Fire Department – EMA Coordination Talk Group 1 (Staff only)
	FDOEP2	Fire Department – EMA Coordination Talk Group 2 (Staff and selected others)
13	POLICE	For directed contact with DC Metropolitan Police Department Dispatch Center
14	MUT	Mutual Aid: used to "patch" to other Talk Groups or channels
15	REGCOR	Regional Coordination with outside jurisdictions
<b>BOARD OF EDUCATION (BOE)</b>		
16	STRANS	BOE Transportation Talk Group (School buses)
17	SSEC	BOE Security (School Security Force)
18	SADMIN	BOE Administration (Superintendents, Principals, and selected others)
<b>DEPARTMENT OF CORRECTIONS (DOC)</b>		
19	CTRANS	DOC Transportation Talk Group
20	DCJAIL	DOC Jail Talk Group
21	DCTAC	DOC Jail Tactical Operations Talk Group
<b>DEPARTMENT OF HUMAN SERVICES (DHS)</b>		
22	HSTRAN	DHS Transportation Talk Group
23	HSSEPD	DHS St. Elizabeth's Police Talk Group
24	HSYSA	DHS Youth Services Administration Talk Group
25	HSCMH	DHS Commission on Mental Health Talk Group
26	HSOPS	DHS Maintenance Operations
<b>DEPARTMENT OF HEALTH (DOH)</b>		
27	HEMERG	Public health doctors and nurses Talk Group
28	HENVIR	DOH Environmental Regulation Administration Talk Group
<b>DEPARTMENT OF PUBLIC WORKS (DPW)</b>		
29	SNOW	DPW Snow Removal Talk Group (Seasonal)
30	PSMA	DPW Public Space Maintenance Administration Talk Group
31	BTS	DPW Bureau of Traffic Services Talk Group
32	BOOT	DPW Parking Enforcement Boot Operation Talk Group
33	TKT	DPW Parking Enforcement Ticketing Operation Talk Group
34	TOW	DPW Parking Enforcement Towing Operation Talk Group
<b>DEPARTMENT OF CONSUMER AND REGULATORY AFFAIRS (DCRA)</b>		
35	INSP	Inspections
36	ABC	Alcohol Beverage Commission Talk Group
<b>HOUSING AUTHORITY (DCHA)</b>		
37	HAPD	DCHA Police Talk Group
38	HAMAIN	DCHA Maintenance Talk Group

Number	Name	Definition
OFFICE OF PROPERTY MANAGEMENT (OPM)		
39	OPMPD	OPM Police Talk Group
40	OPMAIN	OPM Maintenance Talk Group
ARMORY BOARD – RFK		
41	RFKSEC	RFK Security Talk Group
42	RFKTAC	RFK Tactical Operations Talk Group
BOARD OF ELECTIONS		
43	ELECT	Daily Operations Talk Group
LOTTERY BOARD (DCLB)		
44	LOTRY	Daily Operations Talk Group
WATER AND SEWER AUTHORITY (WASA)		
45	SEWER	Sewer Daily Operations Talk Group
46	WATER	Water Daily Operations Talk Group
47	METER	Water Meter Readers Daily Operations Talk Group
LIBRARY		
48	LSEC	Library Security Talk Group
SUPERIOR COURT		
49	CADMIN	Superior Court Administration Talk Group
50	CSEC	Superior Court Security Talk Group
DEPARTMENT OF RECREATION AND PARKS (DCRP)		
51	PADMIN	DCRP Administration Talk Group
52	PTRANS	DCRP Transportation Talk Group
CONVENTION CENTER		
53	CCEVNT	Convention Center Events Talk Group
54	CCSEC	Convention Center Security Talk Group
DEPARTMENT OF ENERGY AND OFFICE ON AGING		
55	WORK	Shared between Department of Energy and Office on Aging Talk Group
UNIVERSITY OF THE DISTRICT OF COLUMBIA (UDC)		
56	DCSEC	UDC Security Talk Group
57	DCADM	UDC Administration Talk Group
OTHERS		
	NPCALL	NPSAC Channel 1 – Repeater only (Conventional 800 MHz channel)
	NPTAC1	NPSAC Channel 2 – Repeater or Direct (Conventional 800 MHz channel)
	NPTAC2	NPSAC Channel 3 – Repeater or Direct (Conventional 800 MHz channel)
	NPTAC3	NPSAC Channel 4 – Repeater or Direct (Conventional 800 MHz channel)
	NPTAC4	NPSAC Channel 4 – Repeater or Direct (Conventional 800 MHz channel)
	COG1	Council of Governments Channel 1 – Direct (Conventional 800 MHz channel)
	COG2	Council of Governments Channel 2 – Direct (Conventional 800 MHz channel)
	COG3	Council of Governments Channel 3 – Direct (Conventional 800 MHz channel)
	COG4	Council of Governments Channel 4 – Direct (Conventional 800 MHz channel)
	COG5	Council of Governments Channel 5 – Direct (Conventional 800 MHz channel)
	COG6	Council of Governments Channel 6 – Direct (Conventional 800 MHz channel)
	FMARS	Council of Governments Channel 7 – Direct (Conventional 800 MHz channel) RESTRICTED to Fire Department use only
	PMARS	Council of Governments Channel 8 – Direct (Conventional 800 MHz channel) RESTRICTED to Police Department use only
	OEPISE	EMA Standalone Repeater 1 located in SE

**D. Radio Ten (10) Codes**

The standard approved Ten Signals known as the 10 Code system shall be utilized whenever possible to enhance communications and reduce air-time. The EMA radio dispatcher shall be knowledgeable of the Ten Signals and require all dispatchers and radio operators to use the codes whenever possible. The following is the official "10 Codes" list:

10-1	Signal Weak	10-21	Call ( ) by Phone
10-2	Signal Good	10-22	Disregard
10-3	Stop Transmitting	10-23	Arrives at Scene
10-4	Affirmative (OK)	10-24	Assignment Completed
10-5	Relay (TO)	10-25	Report to (Meet)
10-6	Busy	10-26	Estimated Arrival Time
10-7	Out of Service	10-27	License / Permit Information
10-8	In Service	10-28	Ownership Check
10-9	Say Again (Repeat)	10-29	Records Check
10-10	Negative	10-30	Danger - Caution
10-11	On Duty	10-31	Pick Up
10-12	Stand By (Stop)	10-32	Unites Need (Specify)
10-13	Existing Conditions	10-33	<b>Help Me Quick (EMERGENCY)</b>
10-14	Message / Information	10-34	Time
10-15	Message Delivered	10-35	-Reserved-
10-16	Reply to Message	10-36	-Reserved-
10-17	En-route	10-37	-Reserved-
10-18	Urgent (quickly)	10-38	-Reserved-
10-19	(In) Contact	10-39	-Reserved-
10-20	Location		

**Appendix D**  
**Agency by Emergency Support Function Matrix**

(See attached page for Matrix)





Appendix E  
Emergency Support Function Roles for Functional Areas Matrix

(See attached page for Matrix)

District Columbia  
Annex O - Infrastructure Disruptions

\* No corresponding Federal Response Plan ESF designation

FRP ESF	1	2	3	4	5	6	7	8	9	10	11	12	13*	14*
Functional Area	Transportation	Communication	Public Works & Engineering	Fire Fighting	Information & Planning	Mass Care	Resource Support	Health & Medical Services	Urban Search & Rescue	Hazardous Materials	Food	Energy	Law Enforcement	Information Technology
<b>ESF Involved</b>														
Direction and Control	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Technology Monitoring	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Warning	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Emergency Communications	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Emergency Public Information	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Public Safety	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Health and Medical	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Damage Assessment	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Human Services	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Evacuation	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Traffic Control	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Emergency Transportation	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Emergency Shelter	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Emergency Feeding	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Resource Management	X	X	X	X	X	X	X	X	X	X	X	X	X	X

ESF by Functional Area

**Appendix F**  
**Emergency Shelters**

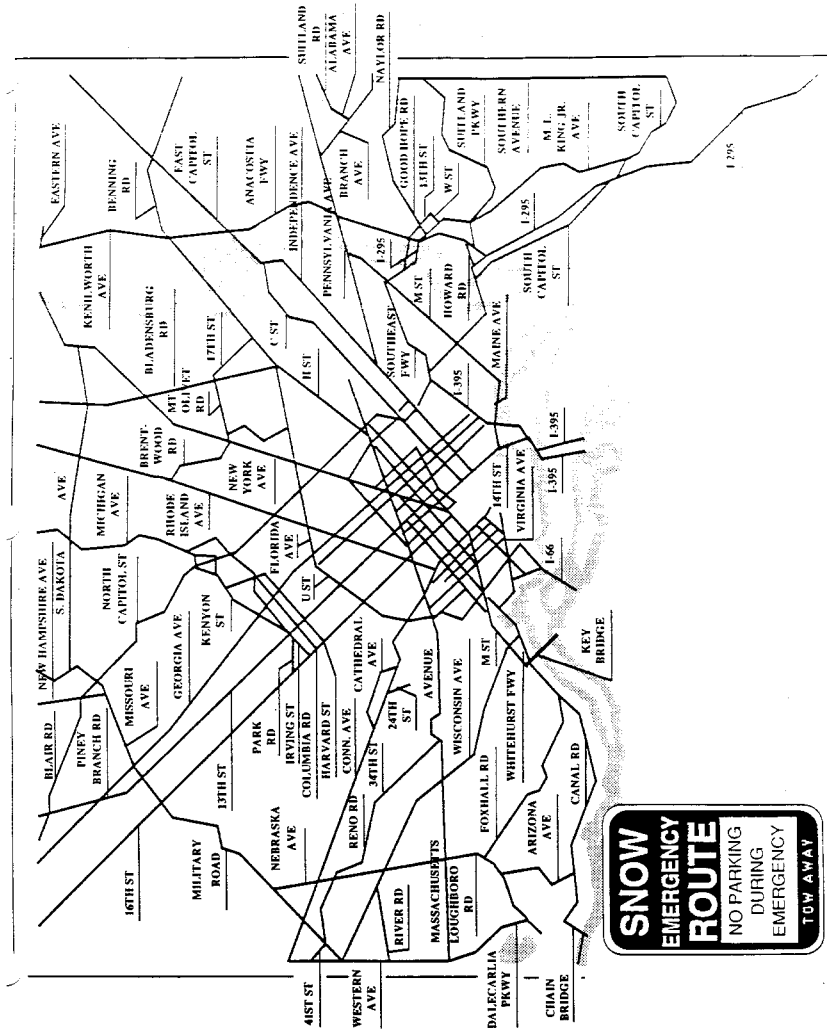
*When conditions warrant, the DC Emergency Management Agency will operate the established community-based emergency/disaster shelters for residents. Persons needing shelter are asked to bring clothing, bathing and sanitary supplies, pre-filled prescriptions and other medical needs, denture and eye care materials, and special dietary supplies or requirements. With the exception of guide dogs, pets are not permitted in the shelters.*

<b>Ward 1</b>	<b>Ward 6</b>
Banneker Senior High School 800 Euclid Street, NW	Eastern High School 1700 E. Capitol Street, NE
Reed Elementary School 2200 Champlain Street, NW	Brent Elementary School 330 3 <sup>rd</sup> Street, SE
<b>Ward 2</b>	DC Center for Therapeutic Recreation 3030 G Street, SE
Francis Junior High School 2425 N Street, NW	<b>Ward 7</b>
Terrell Junior High School 1000 1 <sup>st</sup> Street, NW	Woodson High School 5500 Eads Street, NE
<b>Ward 3</b>	Winston Elementary School 3100 Erie Street, SE
Wilson Senior High School 3950 Chesapeake Street, NW	Kenilworth Parkside Recreation Center 4300 Anacostia Avenue, NE
Filmore/Hardy 1819 35 <sup>th</sup> Street, NW	<b>Ward 8</b>
Chevy Chase Community Center 5601 Connecticut Avenue, NW	Ballou Senior High School 3401 4 <sup>th</sup> Street, SE
<b>Ward 4</b>	Wilkinson Elementary School 2330 Poneroy Road, SE
Roosevelt Senior High School 4301 13 <sup>th</sup> Street, NW	
Coolidge High School 6315 5 <sup>th</sup> Street, NW	
<b>Ward 5</b>	
Browne Junior High School 850 26 <sup>th</sup> Street, NE	
Taft Junior High School 1800 Perry Street, NE	
Langdon Park Recreation Center 2901 20 <sup>th</sup> Street, NE	
Wheatly Recreation Center 1200 Morse Street, NE	

**Appendix G  
Evacuation Routes\***

(See attached page for Routes)

\* Evacuation routes will follow the Snow and Ice Control Routes designated by DPW.



Notification of technical failures shall be directed to the OCTO Y2K PMO for collection and reporting. The Y2K PMO will provide technical direction as needed to assist agency efforts to correct Y2K failures. All technical incidents will be summarized to the EMA EOC via a status report from the OCTO EOC liaison as necessary. Incidents deemed critical by the Y2K PMO shall be communicated immediately to the OCTO EOC liaison for notification of the EOC staff.

#### F. Incident Assessment Process

The first responder to an emergency situation shall serve as the Incident Commander and be responsible for emergency management activities until the Incident Commander of the appropriate agency arrives at the scene of the incident. Each initial Incident Commander must consider the safety factors and follow developed plans and procedures to ensure proper control of the situation.

Technical failures within an agency will be handled by the on site technical staff of that agency. During the augmentation period for potential Y2K failures, all technical failures shall be reported promptly to the OCTO Y2K PMO for collection and response. The Y2K PMO staff will maintain a log of all IT activity to determine the potential for subsequent failures as the result of other failures. The Y2K PMO will monitor the activity being reported to them in an effort to discern possible trends in IT failure scenarios or collateral failure exposures. All IT incidents potentially impacting mission-critical business processes and/or public safety of the District shall be communicated directly to EMA. The incident assessment process for public safety concerns will follow established protocol as outlined by the Incident Command System.

Also, departments and agencies are responsible for the utilization, protection, maintenance, repair, and rehabilitation of supplies, equipment, and facilities operated, controlled, or utilized by them.

#### V. Organization and Responsibilities

All department and agency Directors are aware of basic responsibilities, both primary and support, in each phase of emergency management as they apply to the principle hazards, including Y2K, identified for the District. *Information contained in the Emergency Operations Plan (EOP) Chapter IV, pages 23 through 50, lists previously identified agency responsibilities during the emergency management cycle, e.g. mitigation, preparedness, response, and recovery, to specific hazards other than Y2K.* Agencies are organized into **EMERGENCY SUPPORT FUNCTIONS (ESF)** categories as defined by the Federal Response Plan. Essential resources are grouped in 14 Emergency Support Functions, each headed by a **Primary Agency** with other agencies providing support as necessary. Annex O relies on the emergency plans of departments and agencies. A reference matrix of agency roles listed by "Primary" or "Secondary" is included in Appendix D.

- ESF 1: Transportation
- ESF 2: Communications
- ESF 3: Public Works and Engineering
- ESF 4: Firefighting
- ESF 5: Information and Planning
- ESF 6: Mass Care
- ESF 7: Resource Support
- ESF 8: Health and Medical Services
- ESF 9: Urban Search and Rescue
- ESF 10: Hazardous Materials
- ESF 11: Food
- ESF 12: Energy
- ESF 13: Law Enforcement
- ESF 14: Information Technology

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**ESF 5: Information and Planning (Continued)**


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**Supporting Agencies:**

- ♦ **Office of the Mayor (OM)** – The OM will be the Executive level resource ensuring the planning and the cooperative coordination of all District agencies. The OM has ultimate responsibility to ensure continuation and restoration of services from District agencies. In doing so, the OM will set minimum performance levels for agencies and business processes to ensure Y2K is the number one priority for District agencies. The Mayor's Press Secretary serves as spokesperson for the Mayor on all activities of D.C. Government agencies. EMA will coordinate the release of emergency public information concerning "consequence management" with the Press Secretary.
- ♦ **Office of Communications (OC)** – The OC will establish a Joint Information Center (JIC) to release critical information to the public and the media under the direction of the Mayor's Press Secretary.
- ♦ **Office of the City Administrator (CA)** – The CA will perform the OM's oversight and advisory functions for the information and planning facets of the District-wide response plan. The CA will chair the Executive Steering Committee, oversee the completion of all District plans, guide the strategic level direction of the Y2K project, recommend policy direction, and direct resources according to needs and potential impact on District-wide services.
- ♦ **Office of the Chief Technology Officer (OCTO)** – OCTO will establish and maintain a Y2K Project Management Office (Y2K PMO) for the purpose of monitoring and reporting Y2K triggered IT system failures throughout District agencies. The Y2K PMO public information function will create, prepare, and disseminate information regarding technical issues of Y2K. The Y2K PMO will coordinate this information with the OM's Press Secretary to ensure consistency and clarity of information.
- ♦ **Cable TV (CATV)** – CATV will participate in planning efforts for the Y2K challenge, including active participation in the community outreach efforts of the District to ensure personal preparedness.
- ♦ **Office of Personnel (DCOP)** – DCOP will participate in planning efforts for the Y2K challenge, including active participation in the community outreach efforts of the District to ensure personal preparedness. DCOP will issue District Personnel Manual Bulletins relative to employee status during any Y2K event and status of the District Government: Open, Delayed Arrival, Closed, etc. DCOP will ensure proper coordination for this information when released to the media.
- ♦ **DC Public Schools (DCPS)** – DCPS will facilitate student awareness programs of the hazards peculiar to the District through disaster preparedness training, presentations, and communications.
- ♦ **Department of Human Services (DHS)** – DHS will provide EMA information on social service providers relative to any risk associated with any emergency involving persons who are physically and mentally challenged and youth in the juvenile justice system. DHS will plan any contingency services for these populations. The DHS Public Information Command Center (PICC) will be located in close proximity to the DHS EOC. The PIC will provide information on social services operations to EMA and the JIC; collect and analyze social services information to plan public awareness of emergencies; and produce and disseminate information to the public. PICC's express purpose is to inform DHS customers, media and the general public about social and youth services information relative to Y2K crisis.
- ♦ **Department of Health (DOH)** – The DOH will function as technical medical consultant, assist in the collection of health and medical related information and plan development, and assist in dissemination of health and medical related information to the public.
- ♦ **Department of Public Works (DPW)** – DPW will provide information as to its Y2K related failures to EMA.



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**ESF 7: Resource Support**

**Purpose:** The purpose of this Emergency Support Function is to provide logistical/resource support following a significant Y2K-related emergency.

**Responsibility:** Provide equipment, materials, supplies and personnel to District of Columbia entities for disaster operations.

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**Primary Agency:**

- **Office of Contracting and Procurement (OCP)** – OCP will coordinate with OCTO's Y2K procurement process to enable this expedited process. OCP will work directly with EMA to quickly identify sources and purchase the requisite goods as deemed necessary by the Director of EMA. OCP will structure timely vendor payments to ensure the delivery of needed goods.
- **Emergency Management Agency (EMA)** – EMA will compile reports and data on the availability or shortage of critical resources in the District that may have to be controlled by Executive Order for the duration of the Y2K emergency. EMA receives and compiles status reports from key District agencies on the availability or shortage of needed supplies and resources to alleviate the problem. EMA, the CMT, and other critical agency liaisons will work together to allocate critical resources on a priority basis. EMA serves as the central clearinghouse for coordinating District Government resources supporting emergencies and disasters. EMA will address the efforts and activities necessary to evaluate, locate, procure, and provide essential material resources for mission critical agencies.

**Supporting Agencies:**

- ◆ **Office of the Mayor (OM)** – The OM will be the Executive level resource ensuring the planning and collaborative coordination of all District agencies. The OM has ultimate responsibility to ensure continuation and restoration of services from District agencies.
- ◆ **Office of the City Administrator (CA)** – The CA will be the Office of the Mayor's oversight function for the information and planning facets of the District-wide response plan. The CA will chair the Executive Steering Committee, oversee the completion of all District plans, guide the strategic level direction of the Y2K project, recommend policy direction, and direct resources according to needs and potential impact on District-wide services.
- ◆ **Office of the Chief Technology Officer (OCTO)** – OCTO will establish and maintain a Y2K Project Management Office (Y2K PMO) for the purpose of monitoring, and reporting Y2K triggered IT system failures throughout District agencies. The Y2K PMO public information function will create, prepare, and disseminate information regarding technical issues of Y2K. The Y2K PMO will coordinate this information with the OM's Press Secretary to ensure consistency and clarity of information.
- ◆ **Department of Human Services (DHS)** – DHS will manage procurements with its service providers, and ensure that payments are made to providers. DHS/OFM will assist in providing EMA with resources and supplies for District-wide emergencies in concurrence with availability. DHS will fully mobilize resources to restore the operational functions of its facilities throughout the city and Oak Hill (Laurel, Maryland). DHS will activate its DHS EOC at D.C. Village to ensure continuity of DHS services.
- ◆ **Office of the Chief Financial Officer (CFO)** – CFO will be the lead agency to ensure that disbursement of District funds continues in an orderly manner, including employee pay, vendor payments and direct transfers. CFO will coordinate with OCP to ensure that unforeseen and emergency procurements of critical goods are effected as quickly as possible.
- ◆ **Department of Employment Services (DOES)** – DOES, in cooperation with EMA will manage issues related to the recruitment of manpower during a disaster situation and will serve as the central clearinghouse for mobilization and referral of paid and unpaid workers. DOES, in coordination with all other critical agency liaisons will work together to allocate critical manpower resources on a priority basis. DOES will ensure the continuation of Unemployment Benefits payments and employer tax collections, Disability and Workers' Compensation payments, Summer Youth Employment Programs, Job Training Partnership Act (JTPA) programs, and Job Services Activities.

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**ESF 8: Health and Medical (Continued)**


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- ♦ **Fire & Emergency Medical Services (F&EMS)** – The F&EMS Chief, or designee, will coordinate with the DOH to report to the EMA EOC the capacity and capability of hospital emergency rooms. F&EMS will provide pre-hospital care and transport during emergencies. F&EMS will respond to emergency medical calls for residents, visitors, and organization in the District. F&EMS will provide state-of-the-art pre-hospital emergency medical transport services. F&EMS also serves as the Emergency 911 backup location for MPD and once staffed by MPD, is capable of receiving and dispatching incoming emergency phone calls.
- ♦ **Metropolitan Police Department (MPD)** – MPD is the primary Emergency 911 center for receiving and dispatching of incoming emergency telephone calls.
- ♦ **D.C. Health & Hospitals Public Benefit Corporation (PBC)** – The PBC will provide first aid and emergency care for victims. The PBC will provide hospital, in/out patient treatment, and pharmacy services to the District citizens. PBC will ensure its infrastructure is capable of supporting continued patient care.
- ♦ **Department of Public Works (DPW)** – DPW will assist in the transport of dialysis patients.
- ♦ **Department of Corrections (DOC)** – In some prison incidents, casualties are caused by inmates fighting among themselves or by the use of force by correctional officers in self-defense during riot conditions. The prison infirmary is able to handle non-critical cases of minor or non-life threatening injuries. If the medical diagnosis permits, the injured can be transported to D.C. General Hospital for treatment. Critical cases in Lorton can be brought to the facility at Ft. Belvoir for emergency treatment when time is of the essence. The Department of Health Services prepares to activate the Medical Command Post if it appears that there will be mass casualties resulting from the prison incident, or if it appears the incident will be a long-term operation involving hostages, reports of injured people, and threats by the inmates to do harm to large numbers of people. DOC will alert the hospitals to the possibility of mass casualties arriving because of the incident.
- ♦ **Department of Employment Services (DOES)** – DOES will assist, as needed, in recruiting emergency manpower to assist in a public health emergency.
- ♦ **Child Family Services (CFS)** – CFSA will ensure children whom are in adoptive care and foster care placements, and experience disruption of services, will continue to receive food, shelter, and first aid. CFS will ensure that there will be no disruption of services to children who are in adoptive care and in foster care placement.
- ♦ **D.C. National Guard (DCNG)** – DCNG will provide, upon a public emergency declaration, provide mobile medical personnel and equipment.

**Resource Requirements:**

- ✓ Medical Response Personnel
- ✓ Medical Supplies and Equipment
- ✓ Transportation
- ✓ Communications Systems Support
- ✓ Logistical and Administrative Support.
- ✓ Maps

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**ESF 14: Information Technology (No FRP ESF Corresponds)**


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**Purpose:** The purpose of this Emergency Support Function is to facilitate efficient responses to incidents directly or indirectly related to failures of systems, embedded microprocessors, etc.

**Responsibility:** Collect, analyze and disseminate information, and develop plans, to facilitate the overall District of Columbia mitigation, preparedness, response, and recovery operations for technological infrastructure and applications.

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**Primary Agency:**

- **Office of the Chief Technology Officer (OCTO)** – OCTO will establish and maintain a Y2K Project Management Office (Y2K PMO) for the purpose of monitoring and reporting Y2K triggered IT system failures throughout District agencies. OCTO will have liaisons at the EMA EOC that will interface with the Y2K PMO to update the EOC. OCTO will be responsible for the establishment of a Y2K Project Management Office (Y2K PMO) to monitor the technological infrastructure and applications of the District. The Y2K PMO public information function will create, prepare, and disseminate information regarding technical issues of Y2K. The Y2K PMO will coordinate this information with the OM's Press Secretary to ensure consistency and clarity of information.
- **Emergency Management Agency (EMA)** – EMA is the central information clearinghouse for the District. EMA has the responsibility for collecting, analyzing, processing, and coordinating the dissemination of information regarding hazard threats, emergencies, and disasters. Under the oversight of the Mayor, EMA will coordinate District assets to provide the necessary emergency assistance before, during, and after the occurrence of emergency incidents, including Y2K related system failures or disasters. EMA will execute actions to facilitate access to the Federal disaster assistance process upon depletion of District resources. EMA will serve as the focal point for all external feeds of information relative to domestic and international Y2K challenges such as FEMA, the United States Department of State, Agency for International Development, and the CIA. Information will be consolidated by EMA personnel and disseminated through the EOC's Augmentation room via briefings to agency liaisons. EMA will be responsible for monitoring the impact of Y2K on its internal systems and delivering a status report to the PMO in a proactive manner. EMA will provide communication links to the District for the PMO if broadcast announcements are needed to address Y2K emergencies. EMA will work directly with Bell Atlantic to ensure telecommunications systems remain functional. Communication of failure incidents will utilize the telecommunications infrastructure or 800 MHz radio system to link the EOC, Y2K PMO, and individual agencies.

**Supporting Agencies:**

- ♦ **Office of the Mayor (OM)** – The OM will be the Executive level resource ensuring the planning and collaboration coordination of all District agencies. The OM has ultimate responsibility to ensure continuation and restoration of services from District agencies.
- ♦ **Office of the City Administrator (CA)** – The CA will ensure proper channels of communication and monitoring systems are identified and established by OCTO and EMA that will allow comprehensive monitoring of IT systems, non IT assets, and end user computing equipment in the District, nationwide, and world-wide.
- ♦ **Metropolitan Police Department (MPD)** – MPD will perform systems checks of communication equipment and report problems to the OCTO Y2K PMO and EMA EOC. Most of MPD's IT systems are currently Y2K compliant, and all mission critical systems will be updated or replaced by the end of the year. Non-IT items such as vehicles and portable radios are unaffected by Y2K related problems. The MPD radio communications system is heavily dependent upon outside systems such as telephone and electrical service, which if not Y2K-ready, could cause major disruptions in police communications. MPD, in conjunction with the EMA and other city agencies, will closely monitor the efforts of the major utilities in ensuring that their systems are Y2K-ready.
- ♦ **Fire & Emergency Medical Services (F&EMS)** – F&EMS will perform systems functionality tests of fire and medical equipment prior to and shortly after the rollover and report problems to the OCTO Y2K PMO and EMA EOC.

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**ESF 13: Law Enforcement (No FRP ESF corresponds)**


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**Purpose:** The Purpose of this Emergency Support Function is to provide for the safety of citizens and security of property during incidents requiring intervention by law enforcement authorities.

**Responsibility:** Provides protection for persons and property.

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**Primary Agency:**

- **Metropolitan Police Department (MPD)** – MPD will be in direct liaison with the Emergency Management Agency (EMA) and other city agencies via the Emergency Operations Center (EOC) in order to coordinate inter-agency responses to any emergencies that may arise. MPD will keep the EMA apprised of police operations with regular status reports. All emergency police responses for major incidents or other critical situations shall be coordinated through the MPD Operations Command Center that will be activated effective December 28, 1999. MPD will be responsible for the delivery of both emergency and non-emergency police service to the public. The entire department will be fully mobilized to ensure a continuity of service and effective police response in the event of an emergency or other critical situation. MPD will coordinate its efforts with the EMA and other city agencies via the EOC. In addition to standing internal SOPs, MPD will be in contact with other city, local, and federal police agencies to ensure that the safety of the public is not compromised by domestic or foreign terrorist threats or acts.

**Supporting Agencies:**

- ♦ **Department of Corrections (DOC)** – DOC will direct operations inside the institution effected by Y2K exposures. DOC will coordinate all actions necessary to resolve the problem and restore the institution to "normal operations." DOC will coordinate with MPD and Fairfax County Officials during operations outside of the facility.
  1. Metropolitan Police Department – Has primary responsibility for public safety outside of prison facilities in the District of Columbia. Controls traffic in the vicinity of the incident and coordinates public operations with other police forces operating during an emergency. Maintains perimeter security.
  2. D.C. National Guard – Prepares to support the MPD by providing backup personnel for MPD if the response to prison problems is depleting MPD personnel. Use of DCNG personnel will be cleared by EMA.
- ♦ **Corporation Counsel (OCC)** – OCC will provide legal advice and take legal action for the agencies and the District.
- ♦ **Department of Human Services (DHS)** – DHS will take security control of the Oak Hill Youth Center.
- ♦ **Department of Public Works (DPW)** – DPW will assist MPD and EMA via communication and contact with the Emergency Coordinator in DPW and respond at the PSA level.
- ♦ **DC Housing Authority (DCHA)** – DCHA will utilize its law enforcement capabilities and security personnel to coordinate with MPD to ensure public safety at District housing sites specifically and the District population in general.
- ♦ **Fire & Emergency Medical Services (F&EMS)** – F&EMS is the primary agency for the Fire Investigation Team and a member of the DC Arson Task force, including MPD and ATF.
- ♦ **Department of Recreation and Parks (DCRP)** – DCRP has Youth Intervention Specialists to assist in non-violent crowd control. Specialists are trained in Non-confrontational "soft security."
- ♦ **Office of Property Management (OPM)** – OPM's Protective Service could provide some police services in support of MPD.
- ♦ **D.C. National Guard (DCNG)** – DCNG will provide manpower to MPD to assist in management of the designated 142 critical intersections in the city. DCNG will also provide manpower for each fire station and other strategic locations for security purposes.

Mr. DAVIS. OK. Let me just ask, does anybody want to add anything they didn't do? Is everybody OK?

I want to congratulate Susan Peck and her team on her effort. There's always going to be glitches around. I want to thank the GAO for their insights on this, everybody's willingness to work together for our Nation's Capital, and I appreciate it and I think it's going to make the big difference.

Without objection, all written statements submitted by witnesses will be made a part of the permanent record. The record will remain open for 10 days. The subcommittee will continue to work with all interested parties.

At our next hearing maybe we will deal with the Y3K issue. These proceedings are closed.

[Whereupon, at 12:40 p.m., the subcommittee was adjourned.]

